Local Lead Agency

guidelines

January 19, 2001

2001-2004
Comprehensive
Tobacco Control Plan

California Department of Health Services
Tobacco Control Section
P.O. Box 942732, MS 555
Sacramento, CA 94234-7320

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ACKNOWLEDGEMENT

The California Department of Health Services, Tobacco Control Section (CDHS/TCS) acknowledges the important contribution of the members of the 2001-2004 Local Lead Agency (LLA) Guidelines Workgroup who provided incisive critiques, excellent suggestions and workable ideas that contributed to the development of these guidelines. Members of the LLA Guidelines Workgroup have also agreed to pilot test the online application forms and process to ensure its proper functioning prior to the online application filing date.

The LLA Guidelines Workgroup consists of Project Directors, Fiscal Analysts and CDHS/TCS staff. Project Directors of the LLA Workgroup are: Cynthia Harding (Los Angeles County), Crystal Marie (Trinity County), Theresa J. Marino and Margaret "Peggy" Preacely (City of Long Beach), Sue Paris (Mariposa County), Susana Hennessey-Toure (City and County of San Francisco) and Adrienne Collins Yancey (San Diego County). County Fiscal Analysts are: Kathleen MacLeod (San Diego County), Lou Palmer (City of Long Beach) and Robbyn Pollard (Butte County).

Beginning in early fall of 2000, CDHS/TCS made a persistent effort to inform all LLA Project Directors about the projected changes planned for the 2001-2004 LLA Guidelines. These efforts included a preview of the proposed guidelines at the Communities of Excellence training(s) and at the LLA Project Directors Association Summit as well as direct mail and announcements on PARTNERS, the TCS electronic bulletin board. In all instances, LLA Project Directors were encouraged to provide feedback and suggestions to the LLA Guidelines Workgroup members and CDHS/TCS staff. CDHS/TCS thanks you for your input.

I. INTRODUCTION

A. Statement of Purpose

The purpose of these guidelines is to direct the LLAs in the development of the 2001-2004 Comprehensive Tobacco Control Plan (CTCP) as required by the Health and Safety Code, Section 104350 –104480 and Section 104500-104545. CDHS/TCS is responsible for issuing guidelines, receiving and approving local plans and providing training, technical assistance and consultation to assist LLAs in preparing their comprehensive tobacco control plans.

These guidelines are the result of a series of planning steps that included training in October 2000 in the use of the Communities of Excellence (CX) planning model. It is the expectation that by implementing this systematic planning model, LLAs will both broaden participation of non-traditional partners in local tobacco control planning and will develop meaningful local tobacco control plans tailored to their communities.

Furthermore, these LLA Guidelines, coupled with the CX planning model, reflect a synthesis of the progress made in California's tobacco control program for the past ten years and provide a collective vision for the direction of California's tobacco control program.

The 2001-2004 CTCP, which includes the CX assessment results, will be submitted electronically to CDHS/TCS. The electronic database is anticipated to be operational by early June 2001.

B. Legislative Authority

California's Tobacco Control Program was developed in response to passage of Proposition 99, the Tobacco Tax and Health Protection Act of 1988, by California voters. This referendum increased the state cigarette tax by 25 cents per pack (from 10 cents to 35 cents per pack) and added an equivalent amount on other tobacco products. The new revenues were earmarked for programs to reduce smoking, to provide health care services to indigents, to support tobacco-related research and to fund resource programs for the environment. The money is deposited according to the following formula: 20% is deposited in the Health Education Account; 35% in the Hospital Services Account; 10% in the Physician Services Account; 5% in the Research Account; 5% in the Public Resources Account; and 25% in the Unallocated Account (Revenue & Taxation Code 30124).

The Health Education Account (HEA) funds both community and school health education programs to prevent and reduce tobacco use. The HEA is jointly administered by CDHS/TCS which receives approximately two-thirds of the funding and the California Department of Education (CDE) which receives approximately one-third of the funding available in the account. CDHS/TCS is responsible for supporting a statewide tobacco control program, one of the largest public health interventions of its kind ever initiated, nationally or internationally. CDHS/TCS funds LLAs, competitively selected community-based organizations, a statewide media campaign, and an extensive evaluation of the entire Tobacco Control Program. CDE funds grades 4-8 based on an allocation method and high schools through a competitive grant program.

The enabling legislation for Proposition 99 includes Assembly Bills (AB) 75 (Chapter 1331, Statutes of 1989), AB 99 (Chapter 278, Statutes of 1991), AB 816 (Chapter 195, Statutes of 1994), AB 3487 (Chapter 199, Statutes of 1996), Senate Bills (SB) 99 (Chapter 1170, Statutes of 1991), SB 960 (Chapter 1328, Statutes of 1989), SB 493 (Chapter 194, Statutes of 1995); the annual State Budget; the Health and Safety Code, Sections 104350-104480, 104500-104545; and the Revenue and Taxation Code, Sections 30121-30130. The enabling legislation, the various codes and the annual State Budget, provide legislative and funding authority for programs administered by CDHS/TCS to:

- Conduct health education interventions and behavior change programs at the state level, in the community and other non-school settings;
- Apply the most current research and findings; and,
- Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

More recently, in November 1998, California voters approved Proposition 10, the California Children and Families First Program. Proposition 10 imposed an additional tax of 50 cents per pack on cigarettes, as well as an excise tax of $1 per item on other types of tobacco products. Please refer to Health and Safety Code Sections 130100-130155 and Revenue and Taxation Code 30131-30131.6 for more information about this program. Proposition 10 programs are administered by state and county commissions. Although Proposition 10 revenues need not be spent on tobacco prevention activities, some county commissions are considering imposing tobacco-related requirements on organizations that receive Proposition 10 funding, such as requiring the adoption of a comprehensive tobacco-free policy, divestment from tobacco companies, and refusal of tobacco industry funding. The state commission receives 20% of the tax revenues to spend in a variety of ways. Eighty percent of the revenues are allocated to counties that create county commissions to implement strategic plans to support and improve early childhood development programs in the counties. Although Proposition 10 funds early childhood programs, the voter-imposed tax is evidence of strong support to tax tobacco products in California to fund health related programs. Additionally, the increased cost of tobacco is contributing to a dramatic reduction in cigarette consumption in California in 2000.

C. The State of Tobacco Control in California

During the past ten years, the Tobacco Control Program has frequently faced overwhelming challenges. It has, nevertheless, had an enormous impact. The following information should be considered as LLAs develop their 2001-2004 CTCPs.

1. Program Accomplishments

- **Consumption:** Per capita cigarette consumption in California has fallen by 50 percent, twice the amount of the decline seen in the rest of the nation.

- **Adult Prevalence:** According to the Behavioral Risk Factor Surveillance System, which makes comparable state-specific estimates of adult smoking prevalence, the smoking rate among California adults in 1999 was 3rd lowest in the nation at 18.7 percent, behind Hawaii at 18.6 percent and Utah at 13.9 percent. When Proposition 99 passed in 1988, the adult smoking prevalence in California was 26.7 percent

- **Youth Prevalence:** Additionally, California has seen significant reductions in youth smoking rates. CDHS/TCS' annual youth tobacco telephone survey shows that smoking in California among 12-17 year olds declined by 43 percent since 1995 to 6.9 percent in 1999. California now has the lowest youth smoking prevalence in the nation according to a 1999 National Household Survey conducted by the Substance Abuse and Mental Health Services Administration (which tends to have higher prevalence estimates than telephone surveys). According to this survey, which for the first time provided comparable state-specific youth smoking prevalence estimates, the prevalence among California youth was 9 percent, the lowest rate in the nation, with Utah youth second lowest at 10.3 percent.

- Californians also enjoy more protection from the health risks of exposure to secondhand smoke than the residents of any other state. As a result of the enactment in 1994 of California's law for a smoke-free workplace, Labor Code Section 6404.5, most indoor workplaces in California are now smoke-free, including restaurants, bars and gaming clubs (93.4%). (Draft Report – The California Tobacco Control Program: A Decade of Progress, 1989-1999, CDHS).

- There is an extraordinarily high level of public support for smoke-free indoor air policies. More than 86 percent of all California adults, including 71.4 percent of smokers, feel that all indoor workplaces should be smoke-free. (California Tobacco Survey (CTS)).

- According to the 1999 CATS and BRFS surveys, 77.4% of people with children (under 6 years of age) prohibit smoking in the home. (82.5% of non-smokers and 65.5% of smokers with children (under 6 years of age) prohibit smoking in the home.)

- 41 local ordinances restricting tobacco advertising have now been passed by California counties and cities according to a recent review of the American Nonsmokers Rights Foundation Database.

- According to the Independent Evaluation of the California Tobacco Control Program, there are statistically significant relationships between program activities and smoking behavior. For example, in counties where more adults were exposed to tobacco control messages through at least two different components (media, community, and/or school), adult smoking prevalence declined between 1996 and 1998. In these counties, the percentage of adults who asked someone else not to smoke also increased.

- According to a study, which appeared in a recent issue of the MMWR, lung and bronchus cancer incidence rates are declining faster in California than in other regions of the nation, mostly because fewer Californians are smoking. Lung and bronchus cancer rates in California decreased 14 percent between 1988 and 1997, while rates remained relatively stable in eight other regions of the country, declining at a combined rate of 2.7 percent.

- An estimated 33,300 heart-disease deaths were prevented during the first nine years of the voter-approved anti-smoking program (Proposition 99) according to a recent report by researchers at the University of California at San Francisco.

2. Program Challenges

Despite numerous successes in tobacco control, smoking remains the leading cause of preventable death and disability in California. Tobacco use and exposure to secondhand smoke kill over 42,000 smokers and 5,000 nonsmokers every year in California, along with hundreds of thousands more suffering from tobacco-related diseases and the premature loss of loved ones.

The following is a summary of the final draft of the Independent Evaluation of the California Tobacco Control Prevention & Education Program: Wave 2 Data 1998:

The Tobacco Marketing Environment in California

- Tobacco advertising on billboards should by now have been eliminated as a result of the Master Settlement Agreement (MSA) between the major tobacco corporations and the State Attorneys General, although point-of-sale signs up to 14 square feet are permitted.

- In 1998 there were 267 tobacco-sponsored public events in California. Predominant events sponsors were RJ Reynolds, Kodiak Tobacco, Philip Morris, and US Tobacco. 78% of tobacco industry sponsored events during 1998 in California were car/sports competitions. Most tobacco-sponsored events were part of a series that traveled nationwide, with the sponsorship organized at the national level. Tobacco-supported events tend to draw a larger audience than non-tobacco events.

- National magazines with high California readership had relatively high levels of tobacco advertising (2.3 ads per issue). Magazines aimed at young adults and men had significantly more tobacco ads per issue.

- Tobacco advertising has increased in most types of California newspapers from .11 ads per issue in 1996 to .27 ads per issue in 1997/98. Tobacco ads were most frequent in weekly entertainment newspapers followed by African American newspapers. The majority of tobacco ads in African American and Hispanic newspapers were corporate promotional messages from Phillip Morris, Brown and Williamson and R.J. Reynolds.

- Tobacco-sponsored bar-nights were heavily advertised in weekly entertainment newspapers in large cities and this increased from 0.4 ads per issue in 1996 to 2.5 ads per issue in 1998. These types of marketing efforts have not abated despite the application of AB 13 to bars and clubs, nor do they appear to be facing any restrictions in the future.

- Retail advertising of tobacco products is very high, with an average of 17.1 advertisements per store. Almost half the stores have displays that are at or under 3 feet from the floor, making them the most visible to children. Marlboro dominates the retail environment, with an average of 5 ads per store, followed by Camel with an average of 2 ads per store. Fifty-eight percent of retail stores report they receive incentives from tobacco companies to prominently place and promote the sale of their products. Sixty-two percent of these stores report they receive monetary incentives; this amount exceeds the amount retailers receive from other product types.

- The public is concerned about the amount of tobacco advertising and marketing in their communities. One-half of adults thought that it is a serious problem that tobacco products are advertised in their communities.

- Adults and youth are skeptical of the tobacco industry's practices. More than three-fourths of adults thought that tobacco companies are generally dishonest in the information they give the public about their products, try to get youth to start smoking by using ads that are attractive to youth, and increase nicotine in cigarettes to get people addicted to tobacco.

- The public supports restrictions on tobacco advertising and marketing. In 1998, from one-half to two-thirds of adults and opinion leaders supported restrictions to ban tobacco advertising in stores and on billboards to ban tobacco sponsorship of sporting and community events, and to reduce the amount of smoking on TV programs and in films.

Reducing Secondhand Smoke

- On average, agencies that issued citations to bars did so about 5.7 times in the first six months after the smoke-free bar law went into effect. If a citation was issued, it had a 60% chance of being prosecuted.

- Rural areas appear to have the most challenges in enforcing the smoke-free bar law. When an enforcement agency considers secondhand smoke and its enforcement a serious community problem, they are more likely to collaborate with other community groups including the local tobacco control program in efforts to resolve the problem.

- Seventeen percent of California's nonsmokers are exposed to secondhand smoke in their homes. Twenty-four percent of nonsmokers are still exposed to secondhand smoke at work.

- Nonsmokers at greatest risk of exposure to secondhand smoke at home on a daily basis included African Americans and those 18-24 years of age. Hispanic/Latinos and those with less education were at highest risk for exposure to secondhand smoke at work (five or more days per week).

- From 1996 to 1998, there was a decrease in the percentage of children exposed to secondhand smoke. However, large proportions of children are still not protected from secondhand smoke at home, in cars, and in other indoor settings. The proportion of parents with children under 18 years old who reported a complete ban on smoking in their home in 1998 was 90% for nonsmokers and over 50% for smokers. In 1998, only one-third of smokers with children had a ban on smoking in their family car.

- In 1998, social acceptance of smoking in hotel lobbies and bus shelters was low among both smokers and nonsmokers, suggesting that these might be the next areas in which to extend the public's protection from secondhand smoke.

Reducing the availability of tobacco

- Although TCS-sponsored tobacco purchase surveys found that California's rate of illegal sales to minors dropped from 21.3% in 1997 to 13.1% in 1998, youth report that it is easy for them to obtain tobacco products.

- Friends are the primary social source of cigarettes for youth. Strangers who are asked to buy cigarettes for minors tend to be smokers, younger adults, males and those with lower incomes.

- Comparing 1996 to 1998, enforcement agencies increased their enforcement efforts on citing youth for possession of tobacco, but did not increase the amount of enforcement directed toward merchant compliance with youth access laws.

D. California's Tobacco Control Program Priorities

The California Tobacco Control Program has four broad program priorities, which are:

1. Counter Pro-Tobacco Influences in the Community

Tobacco industry advertising and promotions are major social and economic forces aimed at promoting tobacco use. While the Master Settlement Agreement (MSA) with the tobacco companies in 1998 mandated changes in the behavior of the industry, including specific prohibitions against advertising and promotion strategies that target youth, eliminating tobacco industry influence in local communities remains the highest priority for California's tobacco control program. The tobacco industry continues to maintain massive expenditures on advertising and promotion campaigns. As a result, Californians are exposed to saturation levels of media which both stimulate adult consumption of cigarettes and increase the risk of youth initiation. Tobacco companies sponsor and strategically target specific community events, such as rodeos, festivals, concerts and ethnic-specific cultural events to create the perception that the use of tobacco is glamorous, social and normal.

Counter-marketing strategies can have a powerful influence on public support for tobacco control and set a supportive climate for school and community efforts. Counter-marketing activities can promote smoking cessation and decrease the likelihood of initiation. Counter-marketing consists of a wide range of efforts, including paid television, radio, billboards and print. Media advocacy, and other public relations techniques include press releases, local tobacco-free events and health promotion activities, as well as efforts to reduce or replace tobacco industry sponsorship and promotions. Research on counter-marketing suggests that successful media interventions must have sufficient reach, frequency and duration.

Countering pro-tobacco influence strategies include: education of the public and high risk groups; developing interventions to weed out the harmful tobacco industry presence in California's communities; tracking and reporting industry violations of the provisions of the MSA; enacting local policies to reduce exposure to tobacco advertising and promotions; creating alternative sponsorship opportunities; and, countering efforts to block or weaken regulation of tobacco or existing tobacco control policies. In addition, because of the increase in smoking among young adults (18 to 24 yr. olds), strategies are needed to impact this population with interventions to counter tobacco industry tactics that position tobacco use as "edgy" and "cool."

See pages 17 - 26 in the Communities of Excellence in Tobacco Control: Community Planning Guide for specific indicators within this priority area.

2. Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities

The risks of tobacco use extend beyond the actual user. Exposure to secondhand smoke increases nonsmokers risk for lung cancer and heart disease. Among children, secondhand smoke is also associated with serious respiratory problems, including asthma, pneumonia and bronchitis. Additionally, substantial evidence now links secondhand smoke with sudden infant death syndrome and low birth weight. Protecting California workers and the public from the effects of secondhand smoke and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority with California's Tobacco Control Program.

The health of nonsmokers is protected by the enforcement of public and private policies that reduce or eliminate exposure to secondhand smoke. Studies have shown that enforcement of worksite smoking bans protects nonsmokers and decreases the number of cigarettes that employees smoke during the workday. This cause and effect relationship has been substantiated on a large scale by the California experience in the overall decline in tobacco consumption and smoking prevalence. Over the past decade, per capita cigarette consumption fell by a factor of 57% in California. By the end of 1999, Californians consumed only 4.1 packs of cigarettes per person per month, compared to 9.1 in the rest of the United States. While adult (18+ years) smoking prevalence decreased in the first few years of the decade, it has not changed much since. The most recent California Tobacco Survey indicated that adult prevalence was 18.3 in 1999.

In 1994, the California State Legislature enacted the Smoke-Free Workplace Act, AB 13 (Labor Code 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1,1998 ushered in the second phase of Labor Code 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Education was provided by all Proposition 99 funded agencies to employers, employees and the public about the health effects of secondhand smoke and the need for restrictions. These efforts continue to build support for the restrictions and increase compliance with the law. Continued enforcement activities, including reporting violations of clean indoor air ordinances and laws and prompt investigation, along with a graduated series of civil warnings and penalties, also remain critical to the continued success of Labor Code 6404.5.

Additionally, the importance of addressing workplaces not covered through AB 13, such as work sites with under five employees and on American Indian lands in California is very important. Several American Indian-owned worksites in California, including casinos, are beginning to establish smoke-free policies, but much work still remains to be done.

See pages 27-30 in the Communities of Excellence in Tobacco Control: Community Planning Guide for specific indicators addressing this priority area.

3. Reduce Availability of Tobacco Products

The California experience shows that the combination of enforcing laws that restrict tobacco sales to minors, educating merchants about the penalties for violating the Stop Tobacco Access to Kids Enforcement (STAKE) Act and Penal Code 308(a) and frequent, unannounced retailer compliance checks can reduce illegal sales of tobacco products to minors. Overall, California has seen a significant drop in the rate of illegal tobacco sales, down from 52.1 percent in 1994 to 13.1 percent in 1998. The rate did increase in 1999 to 16.9 percent, but preliminary 2000 results indicate that the rate has lowered once again. Despite this statewide trend, certain counties have documented increased sales rates in the past year, which suggests that continued interventions are needed to monitor and control the situation. In addition, over 80 percent of young people who use tobacco products still report they have no problem obtaining tobacco for personal use.

Efforts to prevent youth access to tobacco, such as the STAKE Act and Penal Code 308(a) enforcement, must continue at a level that maintains California's compliance with federal law (Synar amendment). The Synar Amendment requires states to achieve and maintain an illegal tobacco sales rate to minors of no more than 20 percent.

Furthermore, tobacco retailers are required to post STAKE Act signs at the point of sale. A recent study demonstrated the effectiveness of STAKE Act signage in curtailing illegal sales and indicated that the Philip Morris' "We Card" program is ineffective. Continued monitoring of STAKE Act signage remains an important activity.

California's counties and cities have experienced an increase in the passage of self-service display bans. The elimination of self-service displays in stores tends to decrease adult impulse purchases, illegal sales of tobacco to minors and youth theft.

Other promising local interventions to reduce the availability of tobacco products include: tobacco retail licensure which provides the municipality or other government entity the authority to fine or to revoke the license of those retailers who violate tobacco related laws as well as conditional use permits that limit the location and number of retailers who sell tobacco in a specific jurisdiction.

See pages 31 - 44 in the Communities of Excellence in Tobacco Control: Community Planning Guide for specific indicators addressing this priority area.

See Piecing It Together: Tobacco Laws Affecting California, by the Technical Assistance Legal Center (TALC) for an excellent overview of all laws governing tobacco in California.

4. Promote Availability of Cessation Services (optional)

Smoking cessation is the desired outcome of all initiatives and activities of California's Tobacco Control Programs that create new social norms around the use of tobacco. The California Tobacco Survey (Pierce et al, 1998a) indicates that a large number of smokers in California are poised to quit.

Past experience demonstrates that the media campaign, coupled with the Smokers' Helpline and supported at the community level by cessation programs successfully assist youth and adult smokers in quitting. Over the next three years, CDHS/TCS media campaign is expected to be more aggressive and ubiquitous due to funding increases and a new marketing firm that is developing cutting edge ads for television, radio and print. LLAs have an opportunity to couple local strategies with this (hard hitting) media campaign to assist smokers in quitting.

Smoking cessation is a complex and often extended process with several repeated quit attempts until success is achieved. As social norms shift away from its acceptability and more smokers become aware of health issues related to smoking, the level of motivation to quit across the entire population of smokers increases; motivation by smokers to quit on their own increases. As such, cessation becomes the outcome rather than the intervention. However, there is a downside. Some smokers may switch to smokeless tobacco to avoid the social negative stigma of being a smoker or to avoid exposing others to secondhand smoke.

While recognizing that in California 90 percent of former smokers report quitting without cessation services, CDHS/TCS will continue to fund some direct cessation. LLAs are encouraged to publicize the availability of the California Smokers' Helpline, which offers counseling in English, Spanish, Vietnamese, Korean, Mandarin and Cantonese, and has tailored services for chew tobacco users, hearing impaired, youth, and pregnant women. Also, many LLAs provide direct cessation services at no cost or for a nominal fee. CDHS/TCS permits no more than 10 percent of the LLAs allocation to be spent on cessation.

In addition to providing direct tobacco cessation services, LLAs can also promote system changes that support population-based cessation services such as introducing cessation in large managed care plans, providing physicians, nurses, dentists and dental hygienists with training to establish systematized patient education and treatment programs in private offices and clinics, or cooperating with the American Cancer Society to sponsor the local Great American Smokeout, etc.

CDHS/TCS funds competitive grantees to address cessation through a systems approach. This includes working with pharmacies, health maintenance organizations and healthcare providers to improve their capacity to offer culturally and linguistically appropriate cessation services.

Additionally, the statewide public relations campaign released a communication outreach kit, "Make 2000 the Year 2 Quit" for use by contractors to promote quitting through the media, newsletters, promotional events, etc.

See pages 31 - 34 in the Communities of Excellence in Tobacco Control: Community Planning Guide for specific indicators for this priority area.

E. Funded Programs

CDHS/TCS funds and oversees a variety of community, regional and statewide projects.

- **Local Health Departments**: Each of the 58 county and three city health departments are designated as LLAs. As the lead tobacco control agency at the community level, the LLA is responsible for coordinating information, referral, outreach and education activities within its respective health jurisdiction. Each LLA fosters and involves a community coalition to engage grassroots community mobilization activities that promote social norm changes and educate the public about health issues related to tobacco use and tobacco industry strategies that promote tobacco use. In general, the LLA is the lead on local community policy development, facilitation of enforcement of tobacco control laws and local provision of tobacco cessation services.

- **Competitive Grant Program:** The competitive grant program funds a variety of community, regional, statewide and pilot projects. The agencies funded through this program are non-profit agencies and include community based organizations, voluntary health organizations, health clinics, ethnic organizations, alcohol and drug centers, labor organizations, youth organizations, museums, colleges, and universities. Approximately 90 projects are currently funded.

  - **Community-Based Projects:** These account for approximately 75 percent of the projects funded through the competitive grant program. The majority of projects focus on reaching special populations such as ethnic groups, youth, college students, labor, etc. They conduct advocacy and education campaigns that focus on changing community norms around tobacco use.

  - **Regional Community Linkage Projects:** Eleven regional projects are funded throughout California that encompass multiple local health jurisdictions. Through its coalition, each region coordinates media and advocacy campaigns that cross traditional political and geographic boundaries; provides technical assistance and training to LLAs and community-based projects to support policy and program activities; and administers a mini-grant program.

  - **Ethnic Networks:** Four statewide projects are to be funded to operate the following Ethnic-Specific Tobacco Education Networks: African American, American Indian, Asian and Pacific Islander and Hispanic/Latino. The Ethnic Networks function as administrative agencies to coordinate, collaborate, build capacity and mobilize ethnic communities throughout California. Each Ethnic Network maintains statewide advisory committees and membership, which is comprised of CDHS/TCS-funded agencies and other organizations and individuals involved in tobacco control efforts for the identified populations. The Ethnic Networks conduct culturally specific educational and advocacy campaigns, administer a mini-grant program and provide technical support and consultation to CDHS/TCS, LLAs, Regions, and competitive grantees on how to effectively reach and work with California's multi-cultural population.

- **Statewide Projects:** Initially, several statewide grants were funded to address particular issues and provide technical assistance to other funded projects. These projects included: the Tobacco Education Clearinghouse of California (TECC), the Technical Assistance Legal Center (TALC), and BREATH (The California Smoke-free Bars, Workplaces and Communities Program).

  In July 1999, six additional statewide grants were awarded to create projects with a broad statewide impact to improve local tobacco control programs' effectiveness. These statewide projects provide technical assistance and training to support local programs:

  1) Educating Key Opinion Leaders Project - education outreach to key opinion leaders;
  2) STARS (Seeking Tobacco Alternatives with Realistic Solutions) - education outreach to entertainment industry decision makers;
  3) BUILT (Building Trades Unions Ignite Less Tobacco) - education outreach to organized labor;
  4) Tobacco Industry Monitoring Project - tracking of tobacco industry marketing activities;
  5) CAP (Communications Assistance Project) - local marketing and public relations assistance; and
  6) Council for Responsible Public Investment - encourages state and local governments to discontinue investing public monies in tobacco companies.

- **California Smokers' Helpline**: The Helpline provides intensive tobacco cessation counseling in English, Spanish, Korean, Mandarin, Cantonese, Vietnamese and for the hearing impaired. Tailored counseling services are provided for adults, teens, pregnant women and chew tobacco users. The Helpline also provides self-help materials and a referral list to other tobacco cessation programs. The services provided by the Helpline are free-of-charge. More information about the California Smokers' Helpline is available online at www.nobutts.edu.

F. Tobacco Education and Research Oversight Committee (TEROC)

TEROC is a legislatively-mandated advisory committee charged with overseeing the use of Proposition 99 tobacco tax revenues for tobacco control and prevention education and for tobacco-related research. In performing this mandate, TEROC provides advice to the Department of Health Services, the University of California and the Department of Education regarding the administration of the Proposition 99-funded programs. TEROC also publishes and periodically updates a state master plan for tobacco control and tobacco-related research, and makes recommendations to California's Legislature for improving Proposition 99-funded tobacco control and tobacco-related research efforts in California.

II. GENERAL INFORMATION

A. General Contract Information

1. Projected Allocations - Fiscal Years 2001-2004

Approximately $17,426,000 will be allocated to the LLAs annually using the formula outlined in the enabling legislation. **Illustration 1**, "TCS Local Lead Agency Allocation Table," will help you plan your programs through June 30, 2004. This table reflects the projected allocations for fiscal years (FYs) 2001-2002, 2002-2003, and 2003-2004, which are based on the allocations as presented in the Governor's 2001-2002 Budget Highlights released January 2001.

CDHS/TCS will notify you regarding any subsequent changes to the allocations made by the Legislature or Courts and request plan revisions and/or contract amendments accordingly.

Interest earned on prospective payments or generated revenue will not be included in the budget projections. Interest will be reported only through the Cost Report process for the fiscal years noted above.

2. Contract Term

All LLA contracts and plans will be funded for the time period of July 2, 2001 through June 30, 2004, with the possibility of a three-year extension for a total of six years. All LLAs will be required to submit certain revised documents for the extension period. Sufficient notification will be provided to the LLAs with instructions regarding the revised documents.

3. Noncompliance

If an LLA is non-compliant with the CTCP, Section 104400 of the Health and Safety Code allows CDHS/TCS to terminate the LLA's agreement and recoup any unexpended funds. CDHS/TCS may reallocate the unexpended funds to provide services through an agreement with a different governmental or private nonprofit agency capable of delivering the services as described in the Guidelines.

B. Submission Information

LLAs must submit a new CTCP for the period of July 2, 2001 through June 30, 2004. The plan must be submitted electronically through the online filing process by **Thursday, June 7, 2001**. Further instructions will be provided. Faxes will not be accepted. It is the LLA's responsibility to ensure its computer and/or software will allow for electronic submission by the due date. Agencies, at a minimum, will need an Internet browser, either Microsoft Internet Explorer 5.5 or Netscape 4.7. If you use Netscape, please be aware that it tends to have programming "bugs" which are not controllable by CDHS/TCS or its server. Agencies will be provided a password to enable electronic access to the CTCP for completion, submission, and revisions.

C. Information Meeting and Technical Assistance Session

1. An Information Meeting has been scheduled. Three representatives of each LLA staff are encouraged to participate in the General Session. We recommend that the Project Director (or person responsible for writing the Workplan), the fiscal staff person (one representative), and the project evaluator attend the meeting. **At least one individual from each LLA is required to attend this meeting.**

   Date/Time: **Tuesday, January 30, 2001**
   Newcomers Session: 7:30 a.m.-12:00 p.m.
   General Session: 1:30 p.m.-5:00 p.m.

   Wednesday, January 31, 2001
   General Session continued: 7:30 a.m.–3:15 p.m.

   Location: Cathedral Hill Hotel
   1101 Van Ness Avenue
   San Francisco, CA 94109-6986
   (415) 776-8200

2. A Technical Assistance session will be scheduled in the spring along with the training session for the online filing system. Specific information will be provided at a later date.

D. Review Process

Due to the extension of the date to submit the online filing of the CTCP, CDHS/TCS expects the CTCPs to be reviewed internally by the Local Programs Unit, Contract Managers, and Evaluators. The review will take place June 8-22, 2001.

E. Tentative Timeline

Please note that this timeline is subject to change and depends on some factors related to the online filing system that are still unknown.

The online filing system may be available before June 7, 2001. We will notify you as soon as the system is available and you are strongly encouraged to input your plan from the moment you are notified. However, input must be completed no later than June 7, 2001.

TCS will approve the plan in increments and you will be able to implement components of the plan as they are approved. The online filing system will provide for a change in the appearance of the plan which will indicate the status, e.g., different colors for approved, disapproved, etc. The online system will also allow TCS to provide you with suggested changes for any disapproved component. You will then have the opportunity to revise your plan based on the suggested changes. This is the process that will occur during the Negotiations/Revisions timeframe noted below. All components of the plan must be approved no later than September 30, 2001.

Prospective payment invoices for the July-September 2001 period will be released as soon as CDHS/TCS has a fully executed contract. The October-December 2001 prospective payment invoice may be withheld from processing if the contract is not fully executed and/or the plan is not completely approved by September 30, 2001.

Guidelines Released	January 19, 2001
Information Meeting (required)	
San Francisco	January 30-31, 2001
Technical Assistance Session and Online Filing	
System Training	Spring 2001
Contracts Mailed to LLAs	May 2001
Online Plans due to Tobacco Control Section	June 7, 2001
Internal Review Conducted	June 8-22, 2001
Negotiations/Revisions	June 25-Sep. 30, 2001
Contract Start Date	July 2, 2001

III. ADMINISTRATIVE & PROGRAM REQUIREMENTS

The following information is provided to remind LLAs of CDHS/TCS procedures, requirements, and expectations.

1. LLAs are expected to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the LLA must request a budget revision. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision.

2. LLAs are expected and legally bound to deliver the services as stated in the Workplan. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Workplan, the LLA must contact CDHS/TCS to discuss the issue and request a Workplan revision. It is at the discretion of CDHS/TCS whether or not to approve the request.

3. LLAs are expected to meet contract requirements (including progress reports, cost reports, etc.) satisfactorily. It is up to the discretion of CDHS/TCS to decide to withhold Prospective Payment Invoices and/or recover payment of funds prior to the LLA correcting the deficiency.

4. LLAs are expected to refer to and comply with the LLA Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The Workplan and Budget must be consistent with the policies and procedures found in the Policy Section of that manual. Please review the Policy Section and pay particular attention to those policies addressing mini-grants, incentives, promotional items, sponsorship and lobbying. The Policy Section is also posted on the CDHS/TCS web site at: www.dhs.ca.gov/tobacco.

5. LLAs are expected to maintain accounting records that reflect actual expenditures (including, but not limited to accounting books, ledgers, payroll records, signed time sheets, etc.) and follow standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this contract. These records shall be kept and made available for three (3) years from the contract termination date and after final payment is received from the State.

6. LLAs are expected to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to activity logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the LLA establish documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., are best filed in the objective-specific file as activities are completed.

These records shall be kept and made available for three (3) years from the contract termination date and after final payment is received from the State.

7. LLAs are expected to have proficient personnel to submit to CDHS/TCS timely, accurate and complete progress reports and cost reports every six (6) months using the forms and format provided by CDHS/TCS.

8. LLAs are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program contract related deliverables as well as to fulfill payroll, accounting and administrative procedures.

9. LLAs are expected to maintain the current LLA Administrative and Policy Manual. This manual contains the comprehensive tobacco control guidelines, TCS Policies, and procedures for administrative tasks such as progress reports, cost reports, etc.

IV. COMPREHENSIVE PLAN REQUIREMENTS

A. General Requirements

1. **READ ALL INSTRUCTIONS CAREFULLY.** Submit your plan by the date and time specified. Be sure to include all the information requested in the electronic filing process. Specific information and instructions will be provided to you under separate cover. Review the plan carefully for completeness.

2. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of your agency or previous tobacco control programs administered by your agency.

3. Download a completed copy of the plan for your files.

B. Organization of the Comprehensive Tobacco Control Plan

1. The components of the CTCP are listed below. Instructions for each section, in this order, are provided on subsequent pages.

   - Cover Page
   - Agency Contact Information
   - LLA Evaluator Profile and Letter from the LLA Evaluator
   - Agency Certification
   - Demographic Profile
   - Tobacco Control Coalition Functioning
   - Communities of Excellence Assessment – Forms and Narrative
   - Educational and Advertising Materials Development
   - Workplan and Evaluation Plan
   - Administrative/Collaborative Activities (Optional)
   - Non-Prop 99 Incoming Tobacco Control Funds
   - Budget Justification and Budget Instructions

2. The forms presented are illustrations to give you an idea of the information that will be required. The actual online document may look very different from these forms, but the information being captured will be consistent with these forms.

3. Each component of the CTCP describes minimum requirements for that component. Each CTCP will be reviewed and evaluated in relationship to these requirements.

C. General Instructions

General Instructions Minimum Requirements

The CTCP will be reviewed and evaluated by the minimum requirements presented in this section. Other considerations are:

- All forms are complete, accurate and consistent with these instructions.
- The online application process will not accept an incomplete CTCP.

1. Cover Page

Complete the cover page. See **Illustration 2** for a sample.

2. Agency Contact Information

Complete the Agency Contact Information. The individual listed as the Project Director will receive all program and administrative mailings from CDHS/TCS. This individual is responsible for directing the mailings to appropriate staff, subcontractors, and the evaluator. See **Illustration 3** for a sample**.**

3. LLA Evaluator Profile and Letter from the LLA Evaluator

a. Complete the LLA Evaluator Profile as shown in **Illustration 4.**

b. Letter from the LLA Evaluator.

The LLA evaluator must participate in the development of the Workplan. The LLA must request an e-mail letter from the evaluator describing his/her involvement in the development of the Workplan and the evaluation component. This letter must include the amount of time the evaluator spent with the LLA designing the evaluation. Every LLA must include this letter in the CTCP, even if the evaluator is on the staff of the LLA. The online application process will have a space to insert the letter from the LLA Evaluator.

4. Agency Certification

The Tobacco Control Project Director, County Health Officer and County Fiscal Officer certify and agree to the statements on **Illustration 5**.

5. Demographic Profile

(Illustration 6):

Demographic Profile Minimum Requirements

- Evidence of current demographic, geographic, and socio-political characteristics of the LLA.

Most of this data was provided to LLAs at the Communities of Excellence (CX) trainings.

Instructions

LLAs are to complete items 1-5 of the Demographic Profile Form, which are county identification, urban/rural factor, geography, major population centers and major media outlets. TCS will complete items 6-9 which include overall demographic profile, profiles on age/sex and race/ethnicity, and socioeconomic characteristics.

6. Tobacco Control Coalition Functioning

Tobacco Control Coalition Minimum Requirements

- Evidence of a fully functioning adult coalition with by-laws or operating procedures that describe
    - The organizational structure;
    - A mission statement;
    - A definition of roles and responsibilities of members, appointment to the coalition, length of membership, and meeting frequency (the coalition must meet periodically in person);
    - A process for new member orientation;
    - An assessment of members, no less frequently than every 18 months, to monitor coalition functioning and member satisfaction using assessment instruments identified by CDHS/TCS or others acceptable to the coalition.
- The chair of the coalition is not a member of the LLA staff or health department.
- The coalition has a formal process for recruiting and orienting new coalition members.
- The coalition leadership periodically provides training on working effectively in a coalition and reviews and updates operational procedures based on input from coalition members.
- The LLA and coalition leadership implement a method of routine and rapid response communication with members of the coalition.
- The LLA shall provide staff, logistical assistance, training, budget support, and other assistance needed by the coalition.
- Coalition members are involved in meaningful roles.
- The coalition membership reflects the racial/ethnic diversity of the health jurisdiction.

Instructions

a. Complete the Tobacco Control Coalition Functioning Form. See **Illustration 7** for a sample. If you have more than one coalition (i.e., an adult and a youth), complete a Tobacco Control Coalition Functioning form for each Proposition 99 supported coalition. If you have a youth coalition funded with American Legacy Foundation funds, please complete this form for that coalition too.

b. Complete the Coalition Membership Form. Include agency affiliation only. See **Illustration 8** for a sample. If you have more than one coalition (i.e., an adult and a youth), complete a form for each coalition.

7. Communities of Excellence (CX) Assessment

<u>CX Assessment Minimum Requirements</u>

- CX Indicator Worksheets are complete for each of 13 core community indicators, 3 additional non-core indicators and any other indicators that were assessed;
- A CX Asset Worksheet is completed for the 14 community assets;
- Top portion of the CX Indicator Worksheet is completed for all remaining indicators, noting the reason why it was not selected for assessment, e.g. insufficient resources, low priority, insufficient data, etc.
- Evidence of involvement of coalition members in the CX assessment process; and
- Evidence that quantitative and qualitative data were used to support assessment findings.

<u>Instructions:</u>

a. Complete CX Community Indicator Worksheets and the Community Assets Worksheet as described in the <u>Communities of Excellence in Tobacco Control: Community Planning Guide</u>. See pages 60 and 72 of the guide. Complete the online worksheets for all of the 63 indicators and 14 assets. See **Illustrations 9 and 10** for sample worksheets**.** For those indicators that were not assessed, the system will automatically paginate to the next worksheet after completing the "not assessed" area of the worksheet.

b. Workplan Narrative Summary Justification **(Illustration 11)**

<u>Workplan Narrative Minimum Requirements:</u>

- Objectives selected are consistent with LLAs CX findings and demographic profile;
- A minimum of five objectives are required to be developed for the overall plan; at least three of these objectives are designated as "primary objectives" which will be the focus of evaluation resources and at least two of the three will be developed from core indicators.
- Demographic, historical, political, economic or socio-cultural influences that will either facilitate or challenge implementation are acknowledged and considered in the CTCP;

- Briefly describes the interventions and evaluation activities;
- For each objective, a rationale is provided that describes the underlying Theory of Change. The Theory of Change is the basic assumption(s) about how the proposed interventions should work. A Theory of Change should be:
  - Logical;
  - Consistent with everyday observations;
  - Similar to those used in previous successful program examples you have read or heard about; and
  - Supported by past research in the same area or related ideas.
- Reasonable, realistic and appropriate evaluation plans are evident for each objective;

Instructions

1. In a narrative format, state each objective and indicate if the objective is "primary."
2. Immediately following each objective describe the:
   a. community assessment analysis which led to the selection of the objective;
   b. major intervention activities;
   c. underlying Theory of Change behind the selection of the intervention activities.
3. Evaluation Summary: For each objective, briefly describe the evaluation. Please note for those objectives described as a "primary objective" you are to:
   a. Provide a sound evaluation design such as experimental, quasi-experimental or a "high" level case study, etc.
   b. Conduct an in-depth evaluation, e.g., significant evaluation resources will be directed to evaluating the extent the objective was achieved;
   c. Prepare a final evaluation report consistent with "Tell Your Story" Guidelines.

8. Educational and Advertising Materials Development

Educational and Advertising Materials Development Minimum Requirements:

- The form is complete.
- Educational and advertising materials are developed to support the Workplan and are integrated into the proposed program.
- It is evident that TECC was contacted to determine the extent of materials currently existing in the area proposed.
- It is evident that the LLA intends to use appropriate strategies to pilot test materials in their development phase.

Instructions:
Please refer to **Illustration 12A** which provides the actual instructions for completing **Illustration 12B**, the Online Workplan Form. The Educational and Advertising Materials Development is part of the Workplan form.

9. Workplan and Evaluation Plan (Workplan) (Illustration 12A and 12B)

Workplan and Evaluation Plan Description

The Workplan contains all program activities to be performed by the LLA and its subcontractors that will lead to the accomplishment of the measurable objectives. This includes direct services, policy, media, related activities and the outcome evaluation. It is the "road map" that provides the direction, activities, expected outcomes and the plan to measure the achievement of the objectives.

Preparing progress reports, cost reports, hiring and supervising staff, coalition maintenance and collaborative activities are important administrative activities; these activities are recorded through other forms, not the Workplan. For example, coalition maintenance activities will be captured in the Coalition Functioning Form which you file online and routine collaboration activities are captured in the progress report using the Collaboration Tracking Form and the Coalition Meetings and Accomplishments Form. However, specific coalition building activities designed to recruit a more diversified membership may be the focus of an objective and included in the Workplan.

The budget and budget justification should closely correspond to the Workplan activities, deliverables and timelines.

In the Workplan designate, with a percentage, the programmatic value of each deliverable in terms of staff and budget resources. In general, the deliverables reflect products and services developed or conducted under the contract. In addition, deliverables may include activities and materials, such as presentations, trainings, incentives, promotional items and educational materials developed, surveys and focus groups conducted, paid radio or TV ads, etc. Do not include those activities which help lead to achievement of the major program deliverables, such as planning meetings, developing award criteria for a poster contest, creating a task force, attending coalition meetings, or participating in CDHS/TCS trainings. **Tangible, concrete deliverables are the only items that should receive a percent value.**

In order for the LLA to receive the maximum allocation, all activities and deliverables specified in the Workplan must be fully and satisfactorily performed or produced. If at the end of the contract term, CDHS/TCS determines that any activity or deliverable was not fulfilled in its entirety or the quality of the product was unsatisfactory, CDHS/TCS will reduce the maximum amount payable to the LLA according to the percentage of work not completed. LLAs are advised to alert CDHS/TCS about any anticipated problems in fulfilling the Workplan and negotiate a Workplan revision. By making substitutions, LLAs can avoid the reduction in funding mentioned above.

a) Workplan Overview

<u>Workplan Minimum Requirements:</u>

- A well-organized and detailed "road map" of the proposed program and evaluation, briefly describing realistic and measurable outcome based objectives, quantity of activities, timelines and who is responsible for the completion of activities;
- A minimum of one objective is required for each of the three main priority areas: 1) Counter Pro-Tobacco Influences, 2) Reduce Exposure to Secondhand Smoke, and 3) Reduce the Availability of Tobacco;
- Of the three required objectives, at least two must reflect one of the 13 core CX indicators. The third objective can reflect a new innovative area or any one of the CX indicators or assets;
- An evaluation plan is provided for <u>all</u> objectives described in the Workplan;
- An in-depth evaluation plan is provided for the high priority or three “primary objectives;”
- A comprehensive, integrated program approach is used to achieve objectives incorporating such methods as policy development, paid advertising, media advocacy, training, community education and coordination, community-level data collection, opinion polls and collaboration with other appropriate agencies;
- Coordination with statewide initiatives (e.g. SMART Money, the Pharmacy Partnership, smoke-free bar enforcement efforts, etc.);
- Effective outreach and programs for under-served and ethnic populations;
- Methods of appropriate magnitude that are sufficient to achieve objectives;
- Promotion of the California Smokers' Helpline and STAKE Act toll-free numbers;

- The Workplan assigns a percent of effort for each major deliverable in the Workplan. The total of percentages does not exceed 100%;
- The Workplan designates products that are copyrightable.

Instructions for Completing the Online Workplan Form

The online LLA Workplan will be used to collect information for each objective, evaluation and activity plan.

Refer to instructions in the Communities of Excellence in Tobacco Control: Community Planning Guide (pages 16 to 22) for help in completing the forms for the 13 core indicators/3 non-core indicators and any assets you choose to convert to objectives.

Please refer to **Illustration 12A** which provides the actual instructions for completing **Illustration 12B**, the Online Workplan Form.

b) Evaluation Plan Overview

Importance of Evaluation

Evaluation is critical to California's Tobacco Control Program. It has allowed the program's numerous successes to be documented and shared with colleagues not only in this state but with those throughout the United States and the world. There are also areas where we have not been so successful. Evaluation enables us to acknowledge and learn from these experiences and to share that knowledge with others.

TCS and LLAs use evaluation data to generate reports that are presented at local, state and national conferences. This data shows what interventions work or do not work. Evaluation data is also used to validate the state Tobacco Control Program and demonstrate to policy makers the positive effect the movement has had and continues to have. Lastly, evaluation data provides feedback to LLAs, which can help to strengthen program effectiveness as well as help replicate effective programs in California and elsewhere.

Intergrate Evaluation with Planning Process

Evaluation must be integrated into the program planning process of the 2001-2004 CTCP. The evaluation is to be planned at the time each objective is developed and the intervention is designed.

Please note: LLAs will not be penalized for failure to achieve their objectives; evaluation results will not affect current or future funding. However, LLA funds may be withheld if deliverables within the Workplan are not completed, including elements of the evaluation plan.

Evaluation Assistance

To help link the indicators and assets detailed in Communities of Excellence in Tobacco Control: A Community Planning Guide to local program evaluation, TCS will provide ongoing support to the LLAs. TCS contracted with Technical Assistance Consultants (TACs) who will work closely with LLAs, Local Programs Unit staff and members of the TCS Data Analysis and Evaluation Unit (DAEU). Each LLA will be assigned a TAC. TACs will play a significant and supportive role in the oversight of the LLA evaluation plans. They are not to replace the LLA Program Evaluator or any member of the CDHS/TCS staff, but are available to assist all LLAs in a smooth transition to implementing the Communities of Excellence program planning model. Additionally, to facilitate the development of appropriate and sound evaluation designs, TCS is developing a CX Evaluation Planning Guide. The CX Evaluation Planning Guide will provide suggested evaluation designs, data collection procedures and survey instruments for common CX indicators. Below is a description of the TAC duties:

- Participate in the review of CTCP for all LLAs;
- Assist Project Directors and LLA Program Evaluators in the selection of the three "primary objectives;"
- Prepare a brief written assessment describing the strengths and weaknesses of the evaluation plan for the three "primary objectives;"
- Contact the LLA Program Evaluators and Project Directors to discuss any necessary changes to the evaluation plan for the "primary objectives;"
- Finalize the written assessments based upon communication with the LLA Program Evaluators and Project Directors;
- Send written assessments to Data Analysis and Evaluation Unit staff for review;
- Aid LLA Program Evaluators in finalizing their evaluation plan prior to contract negotiations;
- Provide TCS on-going support over a three year period to assist LLA Program Evaluators;

- Provide technical assistance to LLAs in terms of the evaluation portion of the progress report for the three primary objectives; and
- Potentially provide instruction during Local Program Evaluator Exchange Training Sessions.

Evaluation Reports

When writing final evaluation reports for the "primary objectives," LLAs must follow the procedures in the Tell Your Story: Guidelines for Preparing an Evaluation Report. This document may be obtained online at www.dhs.ca.gov/tobacco. Evaluation reports include both outcome and process data and describe the relationship between the norm change objective and outcome. The results can be descriptive (qualitative) or numerical (quantitative), as long as they describe what was done (project activities and intervention methods), whether expected outcomes were achieved, and what was learned. The evaluation report must include the following components:

- Cover or Title Page
- Abstract
- Project Description
- Evaluation Methods
- Presentation of Results
- Discussion and Recommendations

Evaluation Plan Minimum Requirements

- At least ten percent of the budget is allocated to evaluation.
- A completed Evaluator Profile form that identifies an evaluator with appropriate qualifications and experience.
- A letter submitted electronically by the above mentioned program evaluator describing his/her involvement in the development of the evaluation plan.
- Three "Primary Objectives" are identified for in-depth evaluation purposes. These three objectives reflect where the bulk of evaluation resources will be directed. Two of the three primary objectives are to be developed from the 13 core Communities of Excellence indicators. The third objective can reflect a new innovative area or any one of the CX indicators or assets.
- All other objectives in the Workplan include appropriate evaluation plans.

Evaluation Instructions

This portion of the online Workplan describes evaluation methods and timelines. It must be completed for all of the objectives.

Please refer to **Illustration 12A** which provides the actual instructions for completing **Illustration12B**, the Online Workplan Form.

See Workplan Flow Chart, Figure 1, on page 32.

Figure 1: Workplan Flow Chart

Review CX Assessment Forms to Identify Potential Objectives for the 2001-2004 Workplan

Each Workplan must reflect a minimum of one objective for each of the three priority areas:

Priority Area	Minimum Number of Required Objectives
Counter Pro-Tobacco Influences	1
Reduce Exposure to Secondhand Smoke	1
Reduce the Availability of Tobacco	1
Promote Tobacco Cessation Services	optional

Two of the three objectives must reflect a core CX Indicator; the third can reflect a new area or any one of the CX Indicators:

Priority Area	Number of Core Indicators
Counter Pro-Tobacco Influences	4
Reduce Exposure to Secondhand Smoke	4
Reduce the Availability of Tobacco	3
Promote Tobacco Cessation Services	2

Identify 3 Primary Objectives

A "primary objective" is a high priority objective and one that will receive an in-depth evaluation such as experimental, quasi-experimental or a high level case study. Interim evaluation reports submitted with the biannual progress reports and a final evaluation report will also be required for each of the primary objectives.

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Evaluation

- Develop an evaluation plan for each objective in your Workplan to ascertain the extent to which the objective was achieved
- Develop an in-depth evaluation for the three primary objectives

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Activity Plan

- Develop activities for each objective
- Designate timelines
- Designate who is responsible for completing the activities

10. Administrative/Collaborative Activities (Optional) (Illustration 13)

LLAs are not required to describe routine administrative and collaborative activities in the Workplan since these activities are largely captured under the Coalition Meetings/Accomplishments Form and the Collaboration Tracking Form of the progress report**.** However, LLAs who want to document these activities may do so here.

11. Non-Proposition 99 Incoming Tobacco Control Funds (Illustration 14)

Provide information about other tobacco control funds (such as Proposition 10, MSA, etc.) that the LLA administers. This means the money is coming directly into the LLA and the LLA is responsible for implementing the activities, monitoring the funds, etc. Include the name of the agency providing the funds, the term, the amount, and a brief description of the activities to be funded from these monies.

If your program does not "administer" the funds but does assist in some way, you can include that activity under Item 10 above.

Note: Do not co-mingle any other tobacco monies in the trust account. The separate interest-bearing account is only for Proposition 99 allocations.

12. Budget Justification and Budget Instructions

Budget Justification and Budget Minimum Requirements:

- Propose a reasonable budget for the quality and quantity of activities in the Workplan.
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project.
- Provide funding for a minimum of 75% project director or project coordinator***.*** (A project director of less than 100% must be justified in the budget justification and is subject to the consideration and approval by CDHS/TCS on a case by case basis.)
- Provide the level of detail requested in the budget justification and budget instructions.

- Allocate, at a minimum, ten percent of the overall budget toward evaluation.

- Allocate, at a minimum, ten percent of the lead person's time toward overseeing evaluation activities, including the coordination of an evaluation consultant or subcontractor that may be hired.

- Provide a budget in the prescribed format***.***

a. Format

1) Five Categorical Line Items

The budget justification and budget will be prepared online and consist of the following five categorical line items:

- Personnel Services (includes all positions***,*** salaries***,*** time base***,*** and employee benefits)
- Operating Expenses (optional subcategories)
- Equipment Purchases (includes all equipment, regardless of cost or type). See **Illustration 16.**
- Other Costs (optional subcategories)
- Indirect Costs (includes overhead costs not to exceed 15% of Personnel Services)

The budget information contained in the categories for Personnel Services, Equipment Purchases and Indirect Costs are very specific to these categories and, per department requirements cannot be budgeted in any of the other categories.

The budget information contained in the categories for Operating Expenses and Other Costs can include subcategories that are similar to your own county-defined line items. For example, if your county prefers to budget subcontracts and consultants under Operating Expenses and prefers the title "Professional Services," then build your budget as such. Also, if your county does not use the Other Costs category and prefers to budget expenses under Operating Expenses, then build your budget as such and include $0 under the Other Costs category.

For purposes of reviewing the budget as a supporting document to the Workplan, CDHS/TCS does require that certain subcategories be listed in the budget. See the required subcategories below.

2) Subcategories

In order to ensure that LLAs have budgeted adequately for various activities in the Workplan and have complied with certain CDHS/TCS policies, CDHS/TCS requires that the following subcategories be listed and justified in the budget. LLAs have the flexibility of placing these subcategories in either the Operating Expenses or Other Costs categories:

- TCS Communication Network (PARTNERS)
- Travel/Training
- Educational Materials
- Incentives
- Media
- Promotional Items
- Subcontracts
- Consultants
- Mini-Grants
- Sponsorships

There will be a separate column in the budget justification and budget for each fiscal year of funding. Do not use cents in the budget justification or budget. Use only whole dollars; round off to the nearest whole dollar.

b. Evaluation Component

You are required to allocate, at a minimum, ten percent of the total budget amount towards the evaluation component of your Workplan. Included within this ten percent, you must allocate ten percent of the lead staff person's time to oversee the evaluation component.

Provide a brief synopsis at the end of the budget justification (after Total Budget) on the ten percent requirement for evaluation activities. Include the following in the evaluation synopsis:

- a list of all line items that have any evaluation expenses;
- the dollar amount of the evaluation expenses per line item; and,
- the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation budget:

- at least ten percent of a lead staff person's time is required to oversee and coordinate the evaluation activities; and,
- the expenses for an evaluation consultant or subcontractor (if applicable); and
- any operating expenses (such as duplicating) related to the evaluation activities.

Example of synopsis:

Your total budget for the FY 2001-2004 plan period is $450,000. Therefore, a minimum of $45,000 is allocated to meet the ten percent evaluation requirement.

- Personnel

  Project Director *(lead person)*: Allocated $2,488 for ten percent of the Project Director's time for the three year contract term.

  Project Coordinator: Allocated $6,240 for five percent of the Project Coordinator's time for the three year contract term.

- Operating Expenses

  Allocated $4,500 for dissemination of evaluation findings (duplicating, mailing, etc.); and

- Subcontracts/Consultants:

  Allocated $31,772 to hire an Evaluation Consultant for approximately 794 hours.

  Total budgeted amount: $45,000

c. Budget Justification Instructions

1) General

Prepare one budget justification that provides separate dollar amounts for each fiscal year of funding. See **Illustration 1** for the TCS LLA Allocation Table***.*** The budget justification must be prepared using the five categorical line items noted above and then using TCS required and county-defined subcategories. The TCS required expenditures, listed in Item 2) above, must be detailed within the Operating Expenses or Other Costs categories.

You may tailor the budget justification to match your internal county budgets. For example, if your county allocates all expenses (except Personnel, Equipment, and Indirect) to Operating Expenses, then all your expenses will be justified within this category. The Other Costs category may indicate zero as the budgeted amount because everything is budgeted in Operating Expenses.

As you prepare your justification using the online application process, totals for each category will be carried forward to the budget page, thereby eliminating any inconsistencies between the two documents. The separate forms for Equipment Purchases and Subcontract/Consultant Services have been eliminated.

TCS is not providing detailed instructions for a completed justification. You need to provide justification for each line item you intend to use throughout the term of the contract. Therefore, be sure to define, describe and justify each expenditure listed in the budget justification. **Illustration 15** is a sample budget justification provided to give you an idea of the level of detail required in the budget justification. It does not imply that your budget justification must be set up in this exact format. Also, the figures presented here are fictitious and do not represent any LLA allocation.

TCS uses the budget justification to evaluate the Workplan and budget as well as to review semi-annual cost reports (CR). The LLA budget justification and budget must include the total tobacco control budget amount for FYs 2001-2002, 2002-2003, and 2003-2004.

2) Budget Tips

When preparing the justification, please consider the following:

- **Personnel**
  - Management and fiscal positions listed in the Personnel Services category that are less than 10% must be included in the calculation for Indirect Costs. The total dollar amount for these positions plus the Indirect Costs cannot exceed 15% of total Personnel Services.
  - Provide salary ranges, ranges in percent of time for staff, etc.

- Per department requirements, salaries should be comparable to, but may not exceed, state civil service classifications. See **Illustration 16** for a list of comparable classifications.
- Please note that the salary for each position has two restrictions:
  1) The total salary cannot be less than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods; AND
  2) The total salary cannot be greater than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.
- Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

- **Fringe Benefits**
  - Per department requirements, employee leave (such as vacation, sick leave, jury duty, military leave, etc.) must be included in salaries. See **Illustration 17** for more information about Fringe Benefits.
  - List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the rate differs for various positions, provide a range.
  - If applicable, identify the positions that do not receive benefits with an asterisk (*).
- **Indirect Costs**
  - Indirect Costs cannot exceed 15% of the Personnel Services category.
  - Provide a list of all Indirect Expenses charged to the contract and the dollar amount requested.
- **Equipment**
  - All equipment purchases (regardless of dollar amount, type, etc.) must be budgeted in the Equipment Purchases category. Inclusion of equipment in the CTCP and TCS' approval of the CTCP constitutes approval for the purchase of the specific equipment. However, if additional equipment purchases are necessary after the plan is approved, then the new additional equipment must have prior approval from TCS. Refer to **Illustration 18** for a list of expendable and sensitive equipment.

- Cellular phones and monthly access fees are not authorized.
- Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and will depend upon the need of the project. Pagers and monthly fees will be subject to the approval of TCS.

- **Other**
  - For all subcategory line items, provide a brief description of expenses and indicate the budgeted amount for each line item.
  - TCS will approve LLA Project Director's Association dues for FY 2001-2002, FY 2002-2003, and FY 2003-2004. If dues were pre-paid in the last contract for any of the above years, budget only for the unpaid years.
  - A "Special Projects" line item may be established to fund activities or projects that have not been fully developed. This line item could also be used to fund projects or activities that occur as a result of an immediate need identified within your community. However, this line item cannot be used as a place holder for large amounts of money; only reasonable amounts will be allowed.
  - Plan for inflation by increasing your budget figures for each year (i.e., space rent, merit salary adjustments for staff, etc.).

3) Required TCS Subcategories

The following expenditures must be included in the Operating Expenses or Other Costs categories of the budget justification:

Note*: Please refer to the policy section of the LLA Administrative and Policy Manual for the most current information on PARTNERS, Educational Materials, Incentives, Media, Promotional Items, Mini-Grants, and Sponsorships.*

- **TCS' Communication Network: (PARTNERS)**

All LLAs are required to obtain and maintain an active PARTNERS account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally $20-$25 per month. Budget monthly fees for Internet access during the contract term. A modem is required to access PARTNERS and the purchase of a modem and any software upgrade costs may be budgeted in the Equipment Purchases Category.

- **Travel/Training**

Travel/training must comply with the needs of the tobacco control program and support the Workplan. The option to budget travel and training as a combined line item or two individual line items is at your discretion. Select the method that best meets your needs. Any out-of-state travel is pursuant to the county's travel policy and approval by TCS. Inclusion of out-of-state travel in the CTCP and TCS' approval of the CTCP constitutes approval of the out-of-state travel**.**

a. **Project Travel/Training:** Include airfare, meals, lodging, incidental expenses and mileage (e.g. tobacco outreach activity mileage). Provide the approximate yearly dollar amount requested for project travel which are travel expenses related to completion of the Workplan, for travel to regional meetings, ethnic network meetings, trainings, etc.

Also budget for registration costs and fees for meetings, conferences and workshops that will enable project staff to complete the Workplan. This may include registration fees for computer training classes for project staff, support staff, etc.

b. **TCS Travel/Training:** Separate from the project travel/training expenses, **budget yearly at least $500-$1000 for travel and $250 for registration fees per person for 1-2 full time equivalent (FTE) program staff** for travel/per diem and training expenses, e.g., ethnic network meetings, regional meetings, participation in TCS workgroups, educational materials review committees, etc. This travel/training funds any unanticipated events that may occur over the term of the contract. TCS strongly recommends 5-10 per year; however, you need to budget for what is appropriate for your Workplan and budget.

c. **Required TCS Travel/Training:** In addition to items a. and b. above, add the following:

Project Directors' Meeting: ***Required***

This event is typically a three-day meeting for one to three program and evaluation staff/consultants. Budget this expense in fiscal years one and three.

Budget $1,200 per person ($1,000 for travel/per diem and $200 for registration). The $1,000 travel/per diem includes two to three nights of lodging and airfare.

d. Out-of-State Travel: ***Optional***

Describe (who, where, for what purpose, when) any proposed out-of-state travel and provide a yearly estimate of the costs for airline, per diem, etc.

- **Educational Materials**

Describe the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, etc., for the program. Provide a list of educational materials and the dollar amount requested.

- **Incentives**

List the incentives that will be provided. Incentives must relate to the Workplan and their use must be identified in the Workplan. **Cash awards are not permitted.** Incentives cannot exceed $50 worth of merchandise per participant per year. The use of incentives must be described in the Workplan.

- **Media**

This item is utilized for specific tobacco outreach, publicity, promotion, marketing (paid or public service announcement advertising, billboards) or media campaign that is an integral proposed component of your Workplan. Provide a description of activities to be performed, period of time, and estimated costs. This may include development, purchase, or placement of PSAs, paid advertisements on radio/TV, newspaper, magazine, billboard, bus shelter ads, etc. Development of PSAs, radio, television and print advertisements may be budgeted either in this line item or in the Subcontracts/Consultants line item. All planned media must be described in the Workplan.

- **Promotional Items**

Provide a description and estimated cost for inexpensive, miscellaneous items given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community (e.g., magnets, buttons, balloons, hats, key chains, stickers, bookmarks, etc.). The intent of promotional items is to generate interest and enthusiasm for the program. The use of promotional items must be described in the Workplan. Provide a list of promotional items and the total amount requested.

- **Subcontracts**

Services to be provided under a subcontract agreement should fulfill components of the Workplan for which the LLA lacks resources such as direct services to a specific ethnic population, etc. Budget for costs associated with potential subcontracts. A subcontractor's Indirect Costs shall not exceed 15 percent of their personnel services.

Provide a brief description which details the services to be provided, individuals/agencies who will provide the services, the period of time and total dollar amount. The use of subcontractors must be clearly defined in the Workplan.

<u>Copies of each subcontract agreement shall be maintained in the LLA office files.</u> The State may request copies of the agreement(s) for review and may request additional subcontract information. In addition, subcontractors must maintain records for a period of three years after contract termination date and final payment is received from the State.

- **Consultants**

Services to be provided may include advising on programmatic issues, e.g., group facilitator, in-service training, program design and development, evaluation, guest speakers (motivational speakers), etc. Budget for costs associated with a consultant(s). Every effort should be made to negotiate the lowest possible rate.

Provide a brief description which details the services to be provided, individuals who will provide the services, the period of time and total dollar amount. The use of consultants must be clearly defined in the Workplan.

<u>Copies of each consultant agreement shall be maintained in the LLA office files.</u> The State may request copies of the agreement(s) for review and may request additional consultant information. In addition, consultants must maintain records for a period of three years after contract termination date and after final payment is received from the State.

- **Mini-Grants**

Mini-Grants provide a flexible funding mechanism that allows for quick response to opportunities within the community. Mini-Grants may be used for activities which support the LLAs Workplan. List and describe the funding priorities for mini-grants and the total budgeted amount. The use of mini-grants must be described in the Workplan.

- **Sponsorships**

Sponsorship is a type of advertising that prominently promotes an anti-tobacco use message. The purpose of a sponsorship is to counter the tobacco industry's pro-tobacco use messages in the community and to develop community goodwill for anti-tobacco use through educational, media and policy activities. The sponsor (your program) should receive something tangible in exchange for being the sponsor. The larger the sponsorship, the larger the value the sponsor should receive which may include large signage at the event, advertising in the event program or materials, booth space, publicity on the radio or television, public announcements at the event, etc.

List and describe the potential sponsorships and the total budgeted amount. The use of sponsorships must be described in the Workplan.

d. Budget Instructions

The online budget may look something like the format provided in **Illustration 19**. The budget and budget justification are the controlling mechanisms for expenditures, and are the basis for approval of cost reports.

The budget term is three years. The budget form consists of four columns: 1) FY 2001-2002 Estimates, 2) FY 2002-2003 Estimates, 3) FY 2003-04 Estimates, and 4) Total Budget. Each FY estimate must match the yearly allocation amount. See **Illustration 1** for the

TCS LLA Allocation Table. The totals from the budget justification will transfer to the budget page automatically.

V. ILLUSTRATIONS

Tobacco Control Section
Local Lead Agency Allocation Table
Proposed for FY 01/02 - 03/04

LOCAL LEAD AGENCY	$17,426,000 FY 01/02 ALLOCATION Governor's Proposed Budget Jan 01	$17,426,000 FY 02/03 ALLOCATION Projected	$17,426,000 FY 03/04 ALLOCATION Projected	TOTAL CONTRACT
Alameda	$411,747	$411,747	$411,747	$1,235,241
Berkeley	$150,000	$150,000	$150,000	$450,000
Alpine	$150,000	$150,000	$150,000	$450,000
Amador	$150,000	$150,000	$150,000	$450,000
Butte	$150,000	$150,000	$150,000	$450,000
Calaveras	$150,000	$150,000	$150,000	$450,000
Colusa	$150,000	$150,000	$150,000	$450,000
Contra Costa	$213,579	$213,579	$213,579	$640,737
Del Norte	$150,000	$150,000	$150,000	$450,000
El Dorado	$150,000	$150,000	$150,000	$450,000
Fresno	$318,083	$318,083	$318,083	$954,249
Glenn	$150,000	$150,000	$150,000	$450,000
Humboldt	$150,000	$150,000	$150,000	$450,000
Imperial	$150,000	$150,000	$150,000	$450,000
Inyo	$150,000	$150,000	$150,000	$450,000
Kern	$202,339	$202,339	$202,339	$607,017
Kings	$150,000	$150,000	$150,000	$450,000
Lake	$150,000	$150,000	$150,000	$450,000
Lassen	$150,000	$150,000	$150,000	$450,000
Los Angeles	$4,786,742	$4,786,742	$4,786,742	$14,360,226
Pasadena	$150,000	$150,000	$150,000	$450,000
Long Beach	$251,801	$251,801	$251,801	$755,403
Madera	$150,000	$150,000	$150,000	$450,000
Marin	$150,000	$150,000	$150,000	$450,000
Mariposa	$150,000	$150,000	$150,000	$450,000
Mendocino	$150,000	$150,000	$150,000	$450,000
Merced	$150,000	$150,000	$150,000	$450,000
Modoc	$150,000	$150,000	$150,000	$450,000
Mono	$150,000	$150,000	$150,000	$450,000
Monterey	$150,000	$150,000	$150,000	$450,000
Napa	$150,000	$150,000	$150,000	$450,000
Nevada	$150,000	$150,000	$150,000	$450,000
Orange	$608,591	$608,591	$608,591	$1,825,773
Placer	$150,000	$150,000	$150,000	$450,000
Plumas	$150,000	$150,000	$150,000	$450,000
Riverside	$376,985	$376,985	$376,985	$1,130,955
Sacramento	$389,943	$389,943	$389,943	$1,169,829
San Benito	$150,000	$150,000	$150,000	$450,000
San Bernardino	$449,757	$449,757	$449,757	$1,349,271
San Diego	$710,323	$710,323	$710,323	$2,130,969
San Francisco	$638,392	$638,392	$638,392	$1,915,176
San Joaquin	$206,247	$206,247	$206,247	$618,741
San Luis Obispo	$150,000	$150,000	$150,000	$450,000
San Mateo	$172,716	$172,716	$172,716	$518,148
Santa Barbara	$150,000	$150,000	$150,000	$450,000
Santa Clara	$621,241	$621,241	$621,241	$1,863,723
Santa Cruz	$150,000	$150,000	$150,000	$450,000
Shasta	$150,000	$150,000	$150,000	$450,000
Sierra	$150,000	$150,000	$150,000	$450,000
Siskiyou	$150,000	$150,000	$150,000	$450,000
Solano	$195,239	$195,239	$195,239	$585,717
Sonoma	$225,944	$225,944	$225,944	$677,832
Stanislaus	$150,000	$150,000	$150,000	$450,000
Sutter	$150,000	$150,000	$150,000	$450,000
Tehama	$150,000	$150,000	$150,000	$450,000
Trinity	$150,000	$150,000	$150,000	$450,000
Tulare	$163,074	$163,074	$163,074	$489,222
Tuolumne	$150,000	$150,000	$150,000	$450,000
Ventura	$183,257	$183,257	$183,257	$549,771
Yolo	$150,000	$150,000	$150,000	$450,000
Yuba	$150,000	$150,000	$150,000	$450,000
TOTALS	**$17,426,000**	**$17,426,000**	**$17,426,000**	**$52,278,000**

ILLUSTRATION 2

COVER PAGE

2001-2004 COMPREHENSIVE TOBACCO CONTROL PLAN

Local Lead Agency
Official Name: ____________________

Contact Person for the Plan: ____________________

Mailing Address: ____________________

Phone Number: __________ **Fax Number:** __________

E-mail: __________

AGENCY CONTACT INFORMATION

*Required Field

*Agency Name: ______

Project Name:

Contract No.: ______ *Federal ID #: ______

Project Type: Local Lead Agency

Contract Term: from 07/01/01 to 06/30/04

*Region(s) your Project Works in: ______

MAILING ADDRESS

*Street: ______

*City ______ Zip: ______

*Phone ( ) ______ *Fax ( ) ______

Web: ______

TOBACCO CONTROL PROJECT DIRECTOR

(Please provide information regarding the Project Director. If the Project Director does not provide day to day services on the CTCP, then also provide information on the Primary Tobacco Contact.)

	Project Director:	**Primary Tobacco Contact:**
*Name:		
Title:		
*Email:		
*Phone	( ) ext.	( ) ext.
*Fax	( )	( )

TOBACCO CONTROL FISCAL CONTACTS

	Agency Fiscal Officer:	**Day to Day Fiscal Contact:**
*First Name:		
Title:		
*Email:		
*Phone	( ) ext.	( ) ext.
*Fax	( )	( )

TOBACCO CONTROL COALITION CHAIR

(Provide information on your Coalition Chair and Co-Chair, if applicable)

	Coalition Chair:	Coalition Co-Chair:
*Name:		
*Title:		
*Agency:		
*Address:		
Phone:		
Fax:		
Email:		

COUNTY HEALTH OFFICER

*Name:			
*Title:			
*Address:			
*Phone:		Fax:	
Email:			

OFFICIAL COUNTY SIGNATOR

Please provide information on the person authorized to sign contracts. This information will be used to create the contracts.

*Name:	
Title:	
Address:	
*Phone	( )
Fax:	( )

EVALUATOR PROFILE

First Name: ____________________ **Last Name:** ____________________

Agency: ____________________ **Address:** ____________________

City: ______________ **State:** ______________ **Zip:** __________

Phone: ______________ **Fax:** ______________ **E-mail:** ______________

Education: ☐ **Bachelors** ☐ **Masters** ☐ **Doctorate** ☐ **MPH** ☐ **Other:** ______________

TCS funded agency(ies) you are currently working for | Contract Duration

____________________ __________ **to** __________

____________________ __________ **to** __________

Years in Evaluation: ________ | **Areas of expertise and experience in evaluation**

Years in Tobacco Control: ________ | **Areas of expertise and experience in tobacco control**

Resources:
(such as statisticians, personal computers, software, etc.)

Non English Language Skills:

Special Skills:

Limiting Circumstances:
(e.g., no overnight travel, etc.)

Tobacco related publications:
(If article published, list title, name of publication and date)

ILLUSTRATION 5

AGENCY CERTIFICATION

Note: *This form must be completed in its entirety before you will be allowed to submit your plan to TCS using the online filing process.*

(insert Tobacco Control Project Director's name), (insert Health Officer's name) and (insert Fiscal Officer's name) on behalf of the City/County of ____________________, by checking each box, do hereby certify, understand and agree to the following:

- ☐ The Tobacco Control Coalition Chair has reviewed the 2001-2004 Comprehensive Tobacco Control Plan and has had an opportunity to provide input.

- ☐ Local Lead Agency (LLA) funds, which includes the annual allocation, interest earned on the allocation funds and any generated revenue, can be spent only to accomplish goals and objectives outlined and identified in the 2001-2004 Comprehensive Tobacco Control Plan and Budget. The LLA cannot divert these funds to cover costs or expenses not specifically included in the Comprehensive Tobacco Control Plan and Budget.

- ☐ All LLA funds must be maintained in a separate interest bearing trust account. All interest earned and revenue generated by the program must be accounted for within the account. These monies can only be used for the activities identified in the 2001-2004 Comprehensive Tobacco Control Plan and Budget.

- ☐ The LLA cannot divert, freeze, restrict, or prevent the use of these funds, in whole or in part, for the purposes other than conducting activities described in the 2001-2004 Tobacco Control Comprehensive Plan and Budget.

- ☐ If audited and it is found that these funds have been used for personnel, equipment, operating or other expenses for programs other than the tobacco control program, the LLA may be held liable and required to repay the funds and/or future funding may be withheld by the California Department of Health Services, Tobacco Control Section.

Demographic Profile

LLAS ARE TO COMPLETE ITEMS 1-5.

1. **CITY/COUNTY**: Pull down menu for the 61 health jurisdictions

2. **COUNTY CHARACTERISTIC (***Check one***):** ☐ Urban ☐ Rural ☐ Suburban

3. **GEOGRAPHY:** Pull down menu for the 11 TCS regions

4. **THREE LARGEST INCORPORATED CITIES AND POPULATION**:

(If no incorporated cities, provide information on the three largest towns)

City Name	Population

5. **MEDIA:** *Provide names of the following.* If none exist, put "N/A":

Local Television Stations

Local Radio Stations

Daily Newspapers

Demographic Profile (continued) **Illustration 6**

TCS WILL COMPLETE ITEMS 6-9

6. Overall Demographic Profile

1990 Population	2000 Population	Net Change	Population Density (people per square mile)
Comments: (patterns of natural change such as births and deaths versus migration):			

7. Demographic Profile: Age and Sex (Year 2000 Data)

Age Group	Local Health Jurisdiction								
	Number			Percentage			State		
	Male	Female	Total	Male	Female	Total	Male	Female	Total
0-4									
5-17									
18-24									
25-44									
45-64									
65+									

8. Demographic Profile: Race/Ethnic Distribution (Year 2000 Data)

Population Subgroup	Local Health Jurisdiction		State
	Number	Percentage	Percentage
White			
Black/African American			
American Indian or Alaska Native			
Hispanic/Latino			
Asian & Pacific Islander			
Other			

9. Socioeconomic Characteristics (Year 2000 Data)

Characteristic	Local Health Jurisdiction		State	
Employment Rate– Percent				
Unemployment Rate-Percent				
People of all ages in poverty -Percent				
People under age 18 in poverty - Percent				
Children under age 6 in poverty				
Median Household Income				
High School Graduation Rate – Percent				
Special Populations	**Number**	**Percentage**	**Number**	**Percentage**
Migrant persons				
Non-English speaking persons				
Persons aged 25 and older with less than a high school education				
Persons without health insurance				
Single parent families				

Resources:

California Department of Finance:
www.dof.ca.gov

U.S. Census Bureau
www.census.gov

Health Data Summaries for California Counties
California Department of Health Services
Planning and Data Analysis Section
(916) 445-6355

Communities of Excellence Data Packet

ILLUSTRATION 7

TOBACCO CONTROL COALITION FUNCTIONING

Definition: *Tobacco Control Coalition is a group of agencies, organizations, and individuals who come together for strategic planning, resource sharing, and networking around tobacco prevention and control.*

Complete one form for each Tobacco Coalition.

COALITION TYPE:

☐ Adult
☐ Youth Under 18
☐ College
☐ Other: ______________________________
____

Coalition Name [ ] Year it was founded [ ]
Does the coalition have: ☐ By-laws ☐ Formalized rules/procedures
Current Revision Date: [ ]
A mission statement: ☐ Yes ☐ No

MEMBERSHIP

How many members are on this coalition? [ ]

OPERATING PROCEDURES

Does this coalition have its own budget?
☐ Yes. Who is the fiscal agent? [ ]
☐ No. How is it funded? [ ]
How often does the coalition meet in person?
☐ weekly ☐ monthly ☐ quarterly ☐ other: [ ]
List active sub-committees

[ ]

Does this coalition have a mailing/distribution list for meeting notices/minutes?
☐ Yes. How many receive it? [ ]
☐ No

RECRUITMENT/ASSESSMENT

How do you recruit coalition members?

Describe the coalition's orientation process of new members:

Year of most recent coalition assessment of coalition member satisfaction:

Briefly describe the results:

Year next assessment of member satisfaction planned:

Type of assessment used:

☐ Stanford Survey ☐ Other: ______________________________

Coalition Members' Role: *(Check All that Apply)*

☐ Participate in strategic planning

☐ Review/comment on LLA Workplan

☐ Participate in program implementation

☐ Serve as a media spokesperson

☐ Other: ____________________

ILLUSTRATION 8

COALITION MEMBERSHIP

Complete one form for each Tobacco Coalition.

Name of Agency or Group Represented On the Coalition	Constituency Representation Check One									Other: Describe			Ethnicity/Race					
	Local Lead Agency	TCS grantee	Education	Voluntary Health	Worksite/employer	Media related	Community Member	Law Enforcement	Health Care				African American	Hispanic/Latino	Asian/Pacific Islander	American Indian	Caucasian	Other
1.																		
2.																		
3.																		
4.																		
5.																		
6.																		
7.																		
8.																		
9.																		
10.																		
11.																		
12.																		
13.																		

COMMUNITY INDICATOR WORKSHEET

Indicator Number: ____________________ **Core Indicator:** ❒ Yes ❒ No

Indicator Title: ____

❒ **Assessed**

❒ **Not Assessed (indicate primary reason):**

❒ Low program priority

❒ Insufficient resources

❒ Insufficient data source(s) available

❒ Other: ________________________

Date(s) Assessment Conducted: ____

Data Collection Timeframe: ____

Community Area Assessed: ____

____

Rating Scale	None	Poor	Fair	Good	Excellent	I/D*	N/A**
1. Public awareness Comment:	1	2	3	4	5	❒	❒
2. Public support Comment:	1	2	3	4	5	❒	❒
3. Media attention Comment:	1	2	3	4	5	❒	❒

* ID = Insufficient Data
** NA = Not Applicable

Rating Scale	None	Poor	Fair	Good	Excellent	I/D*	N/A**
4. Education/awareness campaign Comment:	1	2	3	4	5	❒	❒
5. Media campaign Comment:	1	2	3	4	5	❒	❒
6. Voluntary policy Comment:	1	2	3	4	5	❒	❒
7. Legislated policy Comment:	1	2	3	4	5	❒	❒
8. Active enforcement Comment:	1	2	3	4	5	❒	❒
9. Compliance Comment:	1	2	3	4	5	❒	❒
Overall Indicator Rating	**1**	**2**	**3**	**4**	**5**		

* ID = Insufficient Data
** NA = Not Applicable

Ethnic/Special Populations

Overall, are there ethnic or other special populations in this community that have specific needs regarding this indicator? Yes ❒ No ❒

If yes, identify the ethnic/special groups and their needs: ______________________________

____

____

Attach data source and assessment documents for documentation and planning purposes. Please maintain these materials at your office and do not submit to the Tobacco Control Section.

DATA SOURCE	DATE

Name of person(s) or group completing the Community Indicator Worksheet:

1.

2.

3.

COMMUNITY ASSETS WORKSHEET

Community Area Assessed: ______________________

Date(s) Assessment Conducted: ______________________

Data Collection Timeframe: ______________________

Community Asset	None	Poor	Fair	Good	Excellent	D/K*
1. Per capita appropriation for tobacco control activities, from various sources, is consistent with the recommendations of the National Association of County and City Health Officials: • < 100,000 population: $8–$10/capita • 101,000–500,000 population: $6–$8/capita • > 501,000 population: $4–$6/capita Comment:	1	2	3	4	5	❒
2. Extent MSA funds are appropriated for the purpose of tobacco control activities. Comment:	1	2	3	4	5	❒
3. Extent local Prop.10 funds are appropriated for cessation, and secondhand smoke education targeting pregnant women and families with young children. Comment:	1	2	3	4	5	❒

* D/K = Don't Know

Community Asset	None	Poor	Fair	Good	Excellent	D/K
4. Extent of TCS-funded projects in the health jurisdiction that provide tobacco control advocacy training for youth and adults to develop community leaders. Comment:	1	2	3	4	5	❐
5. Extent of satisfaction with program planning, involvement of the community, implementation, quality of services, and progress made by coalition members. Comment:	1	2	3	4	5	❐
6. Extent of support by local key opinion leaders for tobacco related community norm change strategies. Comment:	1	2	3	4	5	❐
7. Extent of community activism among youth to support tobacco control. Comment:	1	2	3	4	5	❐
8. Extent of community activism among adults to support tobacco control. Comment:	1	2	3	4	5	❐

* D/K = Don't Know

Community Asset	None	Poor	Fair	Good	Excellent	D/K
9. Extent of participation of non-traditional partners in tobacco control coalitions. Comment:	1	2	3	4	5	❐
10. Extent of participation by ethnically and culturally diverse groups on community tobacco control coalitions in relation to their proportion in the community Comment:	1	2	3	4	5	❐
11. Extent to which the LLA and other TCS-funded projects in the health jurisdiction include specific objectives in their workplans/scopes of work to address cultural or ethnic/minority communities or populations in relation to the demographics of the community. Comment:	1	2	3	4	5	❐
12. Extent that the LLA tobacco control coalition by-laws and coalition member mission statements promote cultural diversity and competence. Comment:	1	2	3	4	5	❐

* D/K = Don't Know

Community Asset	None	Poor	Fair	Good	Excellent	D/K
13. Extent that educational and media materials used by the LLA and TCS-funded projects in the health jurisdiction reflect the cultures, ethnic backgrounds, and languages of the communities served in relation to the demographics of the community. Comment:	1	2	3	4	5	❐
14. Extent that bilingual staff, subcontractors, and consultants are part of the LLA and TCS-funded projects in proportion to the demographics of the health jurisdiction. Comment:	1	2	3	4	5	❐

*D/K = Don't Know

Attach data source and assessment documents for documentation and planning purposes. Please maintain these materials at your office and do not submit to the Tobacco Control Section.

ASSET NUMBER	DATA SOURCE	DATE

Name of person(s) or group completing the Community Asset Worksheet:

1.

2.

3.

ILLUSTRATION 11

Workplan Narrative Summary

Use this entry form to justify the indicators that were chosen to be developed into objectives.

Local Lead Agency Workplan Instructions and Drop Down Box Menus

A. OVERVIEW

1. Priority Area

Instructions: Select the priority area or “Asset” for each objective. Most of the objectives in your workplan will fall within one of the four Tobacco Control Section priority areas except for those addressing the Communities of Excellence Assets. Select either one of the four priority areas or “Asset” if the objective relates to any of the Assets.

Priority Area Drop Down Box Choices:

Counter Pro-tobacco Influences
Reduce Exposure to Secondhand Smoke
Reduce Availability to Tobacco
Promote Tobacco Cessation Services
Asset

2. Name of the Indicator or Asset

Instructions: Select the title of the Indicator or Asset that the objective addresses. If this is an Indicator or Asset you created, select “Other” and in the area provided, give the Indicator or Asset a title.

Indicator Drop Down Box Choices:

1. In-store tobacco advertising and promotions or communities with policies that control in-store tobacco advertising and promotions

2. Tobacco advertising outside retail stores or communities with policies that control tobacco advertising outside retail stores
3. Tobacco sponsorship at public and private events or entertainment and sporting venues with policies that regulate tobacco sponsorship
4. Tobacco advertising and sponsorship at college related events or colleges with policies to control tobacco advertising and sponsorship at college related events
5. Tobacco-company-sponsored bar and club nights and related advertising
6. Tobacco advertisements in magazines, newspapers and other print media or magazines, newspapers and other print media that control tobacco advertisements
7. Outdoor tobacco ads and billboards that are less than 14 square feet
8. Compliance with MSA outdoor advertising, print advertising, sponsorship and promotional requirements
9. Tobacco company contributions to educational, research, public health, women’s, cultural, entertainment, fraternity/sorority groups and social service institutions
10. Tobacco company contributions to support political campaigns of elected officials
11. Socially responsible depiction of tobacco use, tobacco advertising and ETS restrictions by the entertainment industry
12. Availability of candy look alike tobacco products
13. News media stories about tobacco industry deception
14. Public school districts with a policy prohibiting wearing or carrying of tobacco promotional items at school
15. Public and private institutions that divest of tobacco stock
16. Public and private employers that offer discounted health insurance premiums for non-tobacco users
17. Public school districts and public institutions that adopt a selective purchase policy indicating that tobacco company subsidiary food products will not be bought
18. Schools that provide intensive tobacco use prevention instruction in junior high/middle school years with reinforcement in high school using a curricula that provides instruction on the negative physiologic and social consequences of tobacco use, social influences on tobacco use, peer norms regarding tobacco use and refusal skills (CDC Guideline)
19. Teachers who report receiving tobacco use prevention specific training for teachers (CDC Guideline)
20. School districts that involve parents or families in support of school-based tobacco use prevention (CDC Guideline)

21. Public policies controlling tobacco litter in public places including parks, playgrounds, and beaches
22. Low-income housing complexes that have cigarette related fire prevention policies
23. Local resolutions in support of national policies to hold US tobacco companies to the same standards in the sale and marketing of their products nationally and internationally
24. Local resolutions in support of national policies to hold US tobacco companies to the same standards in their production of tobacco products nationally and internationally
25. Local resolutions in support of the WHO Framework Convention on Tobacco Control
26. Local tobacco control programs that exchange information and resources to build tobacco control efforts internationally in response to US tobacco company marketing and sales practices
27. Enforcement/compliance with state/local smoke-free worksite law(s) (excluding bars & gaming)
28. Enforcement/compliance of enforcement of state/local smoke-free bar & gaming law(s)
29. Compliance with the state law that prohibits the use of tobacco by all students, school staff, parents, and visitors in public school district-owned or leased buildings, on district grounds, and in district vehicles
30. Homes with a smoker in the household who report their home is smoke-free
31. Families with a smoker who report their personal vehicles are smoke-free
32. Worksites with 5 or fewer employees that have smoke-free policies or communities with policies that make worksites with 5 or fewer employees be smoke-free
33. Hotels with smoke-free lobby policies or communities with policies that require hotel lobbies to be smoke-free
34. Foster care homes that are designated as smoke-free
35. Multi-unit housing and public housing complexes with policies that designate common outdoor areas as smoke-free
36. Public and private worksites that designate smoke-free entrances within 15 feet or more of the outside doorways or communities with policies that designate smoke-free entrances within 15 feet or more of the outside doorways
37. Smoke-free units within multi-housing complexes
38. Single resident occupancy hotel rooms that designate a portion of rooms as smoke-free
39. Restaurants and bars with outdoor areas that designate the outdoor area as smoke-free.
40. Outdoor recreational facilities, playgrounds, that have policies designating a portion or all the outdoor areas as smoke-free
41. Private elementary and high school campuses designated as tobacco-free

42. Movie theaters, sporting events and entertainment events that designate waiting lines for tickets, food service, restrooms, etc., as smoke-free
43. Faith community events that are designated as smoke-free
44. Compliance with state laws prohibiting the sale of tobacco to minors and requiring ID checking
45. Compliance with posting the STAKE Act age-of-sale warning signs
46. Communities with tobacco retail licensing
47. Bidis, cigars and smokeless tobacco products are included and tracked as part of compliance checks for enforcement of illegal tobacco sales to minors
48. Compliance with state and local laws restricting placement of vending machines
49. Compliance with state no sales-of-single cigarettes law
50. Compliance with the MSA sales and distribution of tobacco requirements
51. Communities that regulate the number, location and density of tobacco retail outlets, e.g., conditional use permits
52. Communities that control self-service sales of tobacco
53. Independent and chain pharmacy stores that do NOT sell tobacco
54. Communities that have eliminated all tobacco vending machine sales
55. Communities that control tobacco sales via mobile vendors
56. Communities that prohibit free tobacco products sampling
57. Stores in the community that sell bidis or flavored cigarettes
58. Minors reporting they have received tobacco from a social source
59. Availability and use of culturally and linguistically appropriate behavior modification-based tobacco cessation services in the community
60. Public school districts that provide cessation support for students and all staff who use tobacco (CDC Guidelines)
61. Public employee health care plans that have implemented the Public Health Service clinical practice guidelines
62. Managed care organizations serving the community that have implemented the Public Health Service clinical practice guidelines

Asset Drop Down Box Choices:

1. Per capita appropriation for tobacco control activities, from various sources, is consistent with the recommendations of the National Association of County and City Health Officials
    - >100,000 population: $8-$10/capita
    - 101,000-500,000 population: $6-$8/capita
    - <501,000 population: $4-$6/capita
2. MSA funds are appropriated for the purpose of tobacco control activities
3. Local Prop. 10 funds are appropriated for cessation and secondhand smoke education targeting pregnant women and families with young children
4. TCS-funded projects in the health jurisdiction provide tobacco control advocacy training for youth and adults to develop community leaders
5. Satisfaction with program planning, involvement of the community, implementation, quality of services and progress made by coalition members
6. Support by local key opinion leaders for tobacco related community norm change strategies
7. Community activism among youth to support tobacco control
8. Community activism among adults to support tobacco control
9. Participation of non-traditional partners in tobacco control coalitions
10. Participation by ethnically and culturally diverse groups on community tobacco control coalitions in relation to their proportion in the community
11. The LLA and other TCS-funded projects in the health jurisdiction include specific objectives in their workplans/scopes of work to address cultural or ethnic/minority communities or populations in relation to the demographics of the community
12. The LLA tobacco control coalition by-laws and coalition member agency mission statements promote cultural diversity and competence
13. Educational and media materials used by the LLA and TCS-funded projects in the health jurisdiction reflect the cultures, ethnic backgrounds and languages of the communities served
14. Bilingual staff, subcontractors and consultants are part of the LLA and TCS-funded projects in proportion to the demographics of the local health jurisdiction

3. Objective

Instructions: In the Free Form Text Box, state an objective that describes the measurable outcome(s) expected as a result of the intervention. At a minimum there is to be one objective for the priority areas of Counter Pro-tobacco Influences, Reduce Exposure to Secondhand Smoke, and Reduce Availability to Tobacco Products.

The objective is to identify:
a) Who or what is expected to change or benefit;
b) What or how much change or benefit is expected;
c) Where change will occur; and
d) When the change will occur or a completion date.

Example: By June 30, 2002, at least 85% of 100 businesses in Korean Town will demonstrate and maintain compliance with Labor Code Section 6404.5 as determined by an annual observation survey.

4. Primary Objective Designation:

Instructions: Designate at least three objectives in the Workplan to be a "Primary Objective." These objectives will be the focus of evaluation resources and you are expected to create a sound evaluation design for these objectives and prepare a final evaluation report using the document, Tell Your Story: Guidelines for Preparing an Evaluation Report. Two of the three primary objectives are to be developed from the 13 Core Indicators. The third one may reflect a new innovative area or may be any one of the CX Indicators.

Primary Objective Drop Down Box Choices:

Yes
No

5. Target Audience to be Reached by the Intervention

Instructions: For each objective, identify all the target audiences to be reached by the intervention. Select all the target audiences that apply from each of the three population category menus provided. You must select a group for each of three population categories. “None” and “Other” are among the options if the audience and population groups listed in the menus are inappropriate.

Audience Group Drop Down Box Choices:

All ages
0-12 years
13-17 years
Young Adults, 18-24 years
Adults 18 years and older
21 years and older

Advocates
Bar Owners
Business/Merchant
Casino Owners
Coalitions
College Students
Employees
Entertainment Industry
Families
Government Agencies
Health Professionals
Immigrants
Key Opinion Leaders
Law Enforcement
Legislators/Policy Makers
Lesbian, Bisexual, Gay, Transgender
Low Literacy

Pharmacists
Pregnant Women
Religious groups
Rural Populations
Schools
Sport Fans, Sport Teams
Tobacco Users
Women
None
Other

General Ethnic Populations Drop Down Box Choices:

American Indian/Native American
African
African American/Black
Asian
Eastern European
Hispanic/Latino
Middle Eastern
Pacific Islander
Southeast Asian
White, Non-Hispanic
Non-specific/General Audience
None
Other

Specific Ethnic Populations Drop Down Box Choices:

Afghan
Arabic
Armenian
Asian Indian

Bosnian
Cambodian
Cantonese
Central American
Chamorru
Chinese
Croatian
Cuban
Eritean
Ethiopian-Ambara
Ethiopian-Oromo
Ethiopian-Tigrie
Hawaiian
Hmong
Indigenous Peoples of Mexico, Central and South America
Iranian
Iraqi
Japanese
Khmer
Korean
Kosovar
Kurd
Laotian
Liberian
Lingala
Mandarin
Mexican
Pilipino
Puerto Rican
Romanian
Russian
Serbian
Somali

South American
Sudanese
Taiwanese
Thai
Tongan
Ukrainian
Vietnamese
None
Other

6. Intervention Topics

Instructions: For each objective, select the intervention topics that will be addressed by this objective for the particular Priority Area identified. Select all the intervention topics that apply from the drop down menus provided. You must select at least one intervention. "Other" is among the options if the intervention topics listed in the menus are inappropriate.

a) Countering Pro-Tobacco Influences Drop Down Box Choices

Encourage new voluntary policies to reduce or restrict placement of point of sale tobacco advertising or slotting fees
Encourage new local ordinances to reduce or restrict placement of point of sale tobacco advertising or slotting fees
Eliminate/Reduce tobacco sponsorship of sporting or local events
Create alternative sponsorships
Eliminate/Reduce tobacco industry corporate gifts to organizations
Counter tobacco industry bar night sponsorships
Reduce the use of tobacco in the movies or television
Encourage the divestment of tobacco funds
Monitor Master Settlement Agreement violations
Facilitate enforcement of local/state tobacco advertising laws
Conduct sport/coach/sport clinic education

Encourage sport/coach/team policies (e.g., don't use tobacco by team players, don't accept tobacco products, etc.)
Encourage policies to reduce or restrict tobacco-look-alike product sales
Reduce the prevalence of tobacco gear (e.g., school policy, gear exchange)
Promote tobacco issues transnationally
Promote tobacco issues through theater, museum or art education
Educate the public about bidis, blunts or other lesser known tobacco products
Educate the public of the dangers of chewing tobacco
Educate the public of the danger of cigars
Maintain a tobacco control Website
Monitor tobacco industry activities (e.g., slotting fees, front groups, Web sites, etc.)
Conduct World No Tobacco Day activities
Conduct college student advocacy activities
Conduct youth advocacy activities
Create and place paid advertising
Other

b) Secondhand Smoke Interventions Drop Down Box Choices

Pass new or strengthen existing local ordinances to restrict smoking indoors
- Hotel lobbies
- Workplaces with fewer than 5 employees
- Other

Pass new or strengthen tribal policies to restrict smoking indoors
- Worksites/public places
- Casino

Encourage adoption of outdoor smoke-free policies
- College campuses
- Community events (e.g., fairs, concerts)
- Amusement parks, zoos, tot lots, parks
- Smoke-free doorway entrances
- Other worksites

Encourage families/individuals to adopt smoke-free homes and/or vehicles
- Multi-unit housing (e.g., apartments, condos, student housing)
- Vehicle specific
- Through health care provider intervention
- Other types of smoke-free home/car activities

Promote smoke-free bars/gaming clubs
- Educate the public and generate support
- Educate bar/gaming club owners
- Educate/train enforcement agencies
- Conduct non-enforcement compliance checks
- Other smoke-free bar/gaming club activities

Promote other provisions of AB 13 smoke-free workplace law (non-bar)
- Educate the public and generate support
- Educate business owners
- Educate/train enforcement agencies
- Conduct non-enforcement compliance checks
- Other AB 13 activities

Reduce exposure to secondhand smoke through other activities not mentioned

c) Reduce Access to Tobacco Drop Down Box Choices

Pass new or strengthen existing local ordinances to restrict or eliminate self-service displays of tobacco products
Pass or strengthen existing local ordinances to require retailer licensing for tobacco sales
Pass or strengthen other types of youth access to tobacco ordinances
Promote use of conditional use permit process to control the number or placement of tobacco retailers
Encourage local law enforcement to enforce PC 308a
Educate storeowners about the STAKE Act requirements
Conduct educational or media campaigns about social sources of tobacco
Conduct non-enforcement youth tobacco purchase surveys
Encourage the elimination of tobacco sales in pharmacies
Encourage the elimination of tobacco sales in other types of businesses, golf clubs, etc.

Reduce access to tobacco through other activities

d) Promote Tobacco Cessation Services

Promote the California Smokers' and/or Chewers' Helpline(s)
Conduct cessation classes for tobacco users
Provide tobacco cessation training to health care providers
Provide Technical assistance to Health Maintenance Organizations to implement tobacco cessation programs
Conduct Great American Smokeout activities
Other tobacco cessation activities

e) Asset Intervention Topics

Asset #1
- Facilitate appropriation of more local funding for tobacco control activities
- Facilitate appropriation of more state funding for tobacco control activities
- Other

Asset #2
- Facilitate appropriation of local MSA funds for tobacco control activities
- Other

Asset #3
- Encourage local Prop. 10 commission to earmark Proposition 10 funds for cessation and/or secondhand smoke activities
- Other

Asset #4
- Conduct youth summit for youth approximately 12 to 18 years old
- Conduct youth leadership training for youth approximately 12 to 18 years old
- Conduct policy development training for youth approximately 12 to 18 years old
- Conduct "other" youth advocacy training for youth approximately 12 to 18 years old

- Conduct young adult leadership training for persons approximately 18 to 24 years old
- Conduct policy development training for young adults approximately 18 to 24 years old
- Conduct “other” advocacy training for youth adults approximately 18 to 24 years old.
- Conduct adult leadership training
- Conduct policy development training for adults
- Conduct “other” adult advocacy training

Asset #5
- Conduct coalition development/team building training for coalition members
- Conduct orientation training for coalition members
- Conduct strategic planning with the coalition
- Conduct “other” activities to improve coalition satisfaction

Asset #6
- Conduct educational visits to elected officials
- Disseminate print educational materials to elected officials
- Conduct paid advertising campaign targeting key opinion leaders
- Conduct educational outreach to key opinion leaders who are not elected officials

Asset #7
- Conduct recruitment campaign to increase number of youth advocates
- Conduct training for youth advocates
- Implement and maintain youth activism tracking system
- Conduct “other” activities to increase youth activism

Asset #8
- Conduct recruitment campaign to increase number of adult advocates
- Conduct training for adult advocates
- Implement and maintain adult activism tracking system
- Conduct “other” activities to increase adult activism

Asset #9

- Conduct recruitment campaign to increase number of non-traditional partners on the adult coalition
- Conduct “other” activities to increase participation by non-traditional partners

Asset #10

- Conduct recruitment campaign to increase ethnic/cultural diversity of the youth coalition
- Conduct recruitment campaign to increase ethnic/cultural diversity of the adult coalition
- Conduct recruitment campaign to increase ethnic/cultural diversity of any “other” type of coalition
- Conduct “other” activities to increase ethnic/cultural diversity of coalitions

Asset #11

- Conduct grant writing training targeted to ethnic/minority communities
- Conduct procurement(s) for projects targeting ethnic/minority communities
- Conduct “other” activities to increase services to ethnic/minority communities

Asset #12

- Conduct process to revise youth coalition by-laws, mission statement, etc. to address cultural diversity and competency
- Conduct process to revise young adult coalition by-laws, mission statement, etc. to address cultural diversity and competency
- Conduct process to revise adult coalition by-laws, mission statement, etc. to address cultural diversity and competency
- Conduct process to address cultural diversity and competency among coalition member agency by-laws and mission statements
- Conduct “other” activities to address cultural diversity and competency within coalition and member agency by-laws and mission statement

Asset #13

- Develop educational materials targeting ethnic or special language needs
- Develop media materials targeting ethnic or special language needs
- Conduct “other” activities to improve the availability of educational and media materials targeting ethnic or special language needs

Asset #14

- Conduct targeted recruitment for bilingual staff
- Conduct targeted recruitment for subcontractors and consultants with bilingual capabilities
- Conduct “other” activities to diversify language capabilities of staff, subcontractors or consultants

B. **Evaluation Plan**: This section of the workplan describes the methods and timelines you will implement to evaluate the extent to which the objective was completed and the reporting methods and timelines to communicate completion of major evaluation activities. Following this section, you will describe the specific programmatic intervention activities, intervention timelines, who responsible, etc.

1. Expectations/Expected Outcome(s) to result from the Interventions

Instructions: In the Free Form Text Box, state what is expected to change or happen as a result of the interventions.

Example: There will be a minimum compliance rate of 85% with Labor Code Section 6404.5 among Korean businesses.

2. What outcome is being measured?

Instructions: In the Free Form Text Box, describe all the items being measured. Identify things such as Attitudes, Knowledge, Beliefs, Behaviors, Cessation Quit Attempts, Opinions, Policy Enactment, Number of ads, Illegal Tobacco Sales, etc.

3. Evaluation Design

Instructions: Please use the evaluation design characteristics below to describe the research design for THE MEASURABLE OUTCOME OBJECTIVE. A description of the process data can be added in a text box below. Five different characteristics usually can describe an entire evaluation design. Classically, these characteristics are the key notation needed to diagram an evaluation design. These characteristics are general evaluation design, number of intervention groups, number of control groups, intact groups, and measurements. Choose only one option for each characteristic. If your study design is more complicated than the above characteristics, please give a description in the free form text box.

Study Design Drop Down Box Choices

- **General Evaluation Design**
  Experimental: Randomized Groups
  Quasi-Experimental: Non-Equivalent Groups
  Non-Experimental
- **Number of Intervention Groups**
  0 through 99
- **Number of Control Groups**
  0 through 99
- **Intact Groups**
  Yes
  No
- **Measurements**
  Post-Test only
  Pre- and Post-Test
  Longitudinal

4. Data Collection Instruments

Instructions: In the Free Form Text Box, describe all the data collection instrument(s) that will be used in the evaluation of the interventions and outcome objective. These may include: written survey, key informant interview questionnaire, observational checklist, etc. If you are using or adapting the instrument from a particular source, please describe the source such as Operation Storefront. Be sure to assign a program deliverable percentage for the development of data collection instruments (see Item C.4.a.)

Examples: Adapted Operation Storefront observational survey; semi-structured interview instrument including open-ended questions on primary reasons for being able to or not able to begin or sustain smoke-free pledge; telephone survey to be developed; adaptation of the California Youth Tobacco Survey.

5. Resources and Activities to Design Data Collection Instruments

Instructions: In the Free Form Text Box, briefly describe the resources and activities you will undertake to identify appropriate data collection instruments and pilot testing of the instruments.

Example: Contact the Tobacco Education Clearinghouse of California, BREATH and other Local Lead Agencies through a PARTNERS posting to identify potential compliance check observational survey instruments that could be used to assess compliance with Labor Code Section 6404.5. Work with the Evaluation Consultant to adapt the survey instrument to this project's needs. Pilot tests the instrument in 6 businesses and modify the instrument based on the pilot testing.

6. Start Period for Instrument and Data Collection Protocol Development

Instructions: From the Drop Down Box Choices provided, select the progress report period in which you will begin to work on the development of the data collection instrument(s). Select all that apply.

Start Period for Instrument and Data Collection Protocol Development Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

7. Completion Period for Instrument and Data Collection Protocol Development

Instructions: From the Drop Down Box Choices provided, select the progress report period in which you will finalize the development of the data collection instrument(s) and the protocols for data collection. Select all that apply.

Completion Period for Instrument and Data Collection Protocol Development Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

8. Data Collection Methods

Instructions: From the Drop Down Box Choices provided, select the outcome data collection methods that will be used to evaluate the intervention(s) and objective. Select all that apply.

Data Collection Methods Drop Down Box Choices

Focus Groups
In-person (interview or survey)
Mail
Observation
Telephone
Paper and pencil
Photograph or video
Other

9. Where will the outcome data be collected?

Instructions: In the Free Form Text Box, describe all the locations where data will be collected.

Examples: Participating colleges and universities; homes; WIC sites; tobacco retail outlets; rodeos; clinics; chain pharmacies and drug stores; shopping malls; stand alone bars, etc.

10. When will the outcome data be collected?

Instructions: From the Drop Down Box Choices provided, select the progress report period(s) in which data collection will occur. Select all that apply.

Data Collection Time Period Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

11. How many will be in the sample?

Instructions: In the Free Form Text Box, describe the sample size. If more than one data collection method is used, be sure to describe the sample size for each data collection method.

Examples:

- Youth tobacco purchase surveys will be conducted at 75 to 100 tobacco retail outlets;
- 21 bars and bar/restaurants (100% of those in the county);
- 1 to 2 American Indian casinos;
- One parent of each child enrolled in 8 day care centers (estimate 200);
- All parents with children under age 6 visited by 10 public health nurses (estimate 100), etc.

12. Sample Selection

Instructions: In the Free Form Text Box, describe how the sample(s) will be selected. If more than one data collection method is used, please identify the sample selection for each method. The selection method may include: simple random, random clusters, purposive, convenience, etc.

Example: A master list of all bars and restaurants with bars in each city and unincorporated area of the County will be prepared. A simple random sample of bars will be drawn with over-sampling in Vallejo and Dixon. All restaurants with bars will be included in the observational survey.

13. Type of Analysis

Instructions: In the Free Form Text Box, describe what type of analysis will be done. The type of analyses may include comparison over time, comparison with other groups, comparison with a control group.

Example: Number and percent of bars and restaurants with bars in each city and all unincorporated areas will be considered as a group. Compare Labor Code Section 6404.5 compliance rates across cities and unincorporated areas. Assess change from baseline to follow-up. Include a process analysis of the factors that may have contributed to better enforcement such as extent of bar owner education outreach, code enforcement visits, media coverage of compliance efforts, and public complaint tracking log.

14. Process Evaluation Activities

Instructions: Describe the process evaluation activities you will conduct such as focus groups, interviews, activity tracking, etc.

15. Dissemination of Results

Instructions: In the Free Form Text Box, describe how the results will be disseminated. This may include formally presenting or publishing your findings to a professional journal, local media or city council, use for public relations or media advocacy, posting results on PARTNERS.

16. Interim Evaluation Report Submission

Instructions: From the Drop Down Box Choices provided, select the progress report period(s) in which TCS will receive an interim report(s) describing results of initial data collection. Select all that apply.

Interim Evaluation Report Submission Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

17. Final Evaluation Report Submission

Instructions: From the Drop Down Box Choices provided, select the progress report period in which TCS will receive the final evaluation report describing the results of evaluation activities and data analysis. Select only one progress report period. Be sure to assign a program deliverable percentage to this activity (see Item C.4.a.)

Final Evaluation Report Submission Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

18. Evaluation Limitations

Instructions: In the Free Form Text Box, describe any limitations or other problems you anticipate with the evaluation. This may include instrument development, data collection, sampling issues, contamination of control groups, etc.

Example: In order to evaluate the Los Angeles County media campaign, adults aged 18-55 will be surveyed at two shopping malls. Pretest surveys will be conducted in December and post-test surveys will be conducted in April. This may lead to a problem with sample size due to a large number of people shopping during the month of December and not as many people during the month of April. Therefore, there may be a difference in the number of adults in the pretest and post-test sample.

C. Activity Plan: This section of the workplan describes the methods, steps, timelines, who is responsible for completing major activities, copyrightable products and the percent of programmatic effort that deliverables represent. Items #1 through #8 will be completed for each activity.

1. Major Intervention Category

Instructions: From the Drop Down Box Choices provided, select a Major Intervention Category and group similar individual activities under the same Intervention Category. The categories are purposively broad and are a means to organize similar activities and provide a means for your staff and State staff to readily locate certain types of interventions. In this way, all the Media activities, all the Training activities, all the Coordination/Collaboration activities, etc. will be grouped together under a cohesive heading.

Major Intervention Category Drop Down Box Choices

Coordination/Collaboration Activities
Community Education Activities
Educational Materials Development
Incentive Items
Media Activities
Mini-Grants
Policy Activities
Promotional Items
School-based Education
Sponsorship Activity
Training Activities

2. Activity

Instructions: Describe each activity to be conducted how much will be done and where the activities will occur. Be sure to quantify the amount of work to be performed in order to help justify the budget. You are encouraged to use ranges. Indicate the length, frequency and number of trainings, presentations, site visits, educational materials, etc. Describe where the activities will occur. Indicate where appropriate, the geographical location or site where activities will occur, e.g., North County, housing projects, retail stores, rodeos, etc. Fill out one Free Form Text Box for each activity. Multiple Free Form Text Boxes are provided for this purpose.

- **Coordination/Collaboration:** Describe who you will coordinate and collaborate with to avoid duplication of effort and maximize your resources. Describe what the activities will consist of. These may include coordinating with the Region, collaborating with other competitive grantees, collaborating with non-Proposition 99-funded groups, etc. Fill out one Free Form Text Box for each separate coordination/collaboration activity.

  Example: Conduct 3-5 meetings or telephone conference calls with other TCS funded projects in the county to coordinate observation of rodeos, fairs and other special events to identify tobacco company sponsorship and to share results.

- **Community Education:** Describe community education efforts such as advocacy activities, presentations, outreach, theater, counseling, small group education, letter writing, conducting public hearings or forums, filing complaints with government officials, etc. Fill out one Free Form Text Box for each separate community education activity.

  Example: Conduct 3-5 presentations of 15 minutes to 1 hour in length to business groups and community groups such as the Rotarians regarding the issues of tobacco industry sponsorship and advertising at community events.

- **Educational Materials:** Describe educational materials development. This does not include development of advertisements. It refers to posters, pamphlets, curriculum, videos, flip charts, etc. Prior to proposing to develop any educational or media materials, check with the Tobacco Education Clearinghouse to determine if a piece currently exists that could be used or one that could be modified. In the description of the educational material, describe development process, pilot testing/evaluation, printing and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. Fill out one Free Form Text Box for each separate piece of educational material.

Example: Produce 10 copies of a 10-12 minute video exposing tobacco industry sponsorship in rural areas. The target audience will be key opinion leaders belonging to business and community organizations. Create objectives for the video and then develop a draft script that will be reviewed by coalition members, Project SMART Money Workgroup Members and others knowledgeable of tobacco industry sponsorship. Work with other rural areas to identify events with tobacco sponsorship or advertising to tape. Identify, interview and tape 2-3 rural Fairground Board members to whom supported policies to turn down tobacco sponsorship funds. Develop rough cut of video. Get review and comments from 3-4 key opinion leaders and then finalize video. Dissemination—will be in county only for use at presentations and to TECC.

- **Incentives:** Describe Incentive Items. Tobacco use prevention projects may use incentives to reinforce or motivate a behavior change. They are only to be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use for incentives and how they will be used. If you do not know the exact incentive item you will use, list possible examples, e.g., gift certificates, mugs, t-shirts, etc. Fill out one Free Form Text Box for each separate incentive activity.

  Example: Provide $20 gift certificates to a music store to youth who participate in 2 days of youth tobacco surveys at the completion of the second day.

- **Media Activities:** Describe media activities. This includes development of print, outdoor, or electronic advertisements, public relations activities, press events and other activities designed to either place your message in the media or obtain coverage of your message by the media (newspapers, radio, television reporters). Prior to proposing to develop any media materials, check with the Tobacco Education Clearinghouse of California to determine if a piece currently exists that could be used or one that could be modified. In the description of advertisements to be developed, describe development process, pilot testing/evaluation, production and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. Fill out one Free Form Text Box for each separate piece of educational material. For public relations activities, press events, describe and quantify the nature of the event.

  Example 1: Check with TECC to obtain samples of other ads developed targeting secondhand smoke exposure in the home and car. Develop, produce and place 3-9 newspaper print ads exposing the danger of secondhand smoke exposure in the home and car. The target audience for the ads will be parents and key opinion leaders. Work with a local advertising company to develop ad concepts. Run ads through appropriate focus groups to ensure that the message is understood and appropriate. Place 1/8 to ¼ page ads in the county newspaper.

Example 2: Conduct one press conference for mainstream and ethnic radio, television and print media to orient reporters and provide interviews regarding the significance of a recent local study highlighting the numbers of infants and children in the local health jurisdiction who are exposed to secondhand smoke in their family car. The evaluator, Health Officer and Project Director will present findings at the press conference. Twenty-five press packages will be prepared for distribution in Spanish, English and other appropriate languages. The press packet will contain a description of the survey and the major findings, a sample press release, an advisory to parents as well as background information on the health effects of secondhand smoke exposure on infants and children.

- **Mini-Grants:** Describe those grants that are awarded for short term projects that support and enhance achievement of objectives. Describe the number to be awarded and for the general type of projects they will be awarded for. Please review the LLA Administrative and Policy Manual for requirements about mini-grants.

  Example: Award 3-5 mini-grants through a competitive process to conduct educational activities and booths at sporting and community events to promote smoke-free homes and cars.

- **Policy Activities:** Describe those activities that relate to the development, facilitation and adoption of voluntary or legislated policies.

  Example 1: Identify and review sample tobacco industry conflict of interest policies. Draft a sample policy and an educational kit explaining the issues with accepting tobacco industry funds.

  Example 2: Work with 6-8 food programs, abused women's shelters, and AIDS programs to adopt a policy prohibiting the acceptance of tobacco industry funds by the agency.

- **Promotional Items:** Describe promotional items: promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, or inexpensive visors. If you do not know the exact promotional items you will use, list possible examples, e.g., buttons, key chains, magnets, etc. Fill out one Free Form Text Box for each separate promotional item activity.

> **Example**: Give away 5,000 helium balloons with an anti-tobacco use message on them at rodeo events where there is tobacco industry sponsorship or advertising.

- **School-based Education:** Describe school-based educational efforts that take place in pre-schools, elementary schools, middle schools, high schools, vocational schools, colleges, universities or home schools. Describe efforts such as presentations, youth recruitment, assessment activities, special events, campaigns, advocacy activities, small group education, etc. Please review the LLA Administrative and Policy Manual for requirements about working with schools.

  > **Example:** Conduct an assessment of 2-3 junior college campuses in Sacramento and Placer Counties of tobacco-related indicators using the CYAN assessment tool and protocols.

- **Sponsorship Activity:** Describe sponsorships to be awarded that will counter the tobacco industry's pro-tobacco use messages in the community and that will develop community goodwill for anti-tobacco educational, media, and policy activities. Describe the number to be awarded and the types of events or programs that will be sponsored. Please review the LLA Administrative and Policy Manual for requirements about sponsorship activities.

  > **Example:** Award 9-12 sponsorships to local sports teams and events promoting smoke-free messages. In return for the sponsorship, the program will obtain a large banner promoting the team/event as smoke-free, publicity promoting the smoke-free message, our program's name as a sponsor, and disseminating educational materials or promotional items with a smoke-free message.

- **Training Activities:** Describe training activities. These are activities designed to train others in the development of a new skill. Training activities may target such things as training coalition members and volunteers in how to conduct data collection activities, target tobacco clerks on how to check identification or WIC workers on how to assess secondhand smoke exposure. Training activities are more extensive than presentations and involve the use of a curriculum with specific learning objectives.

Example: Provide 3-6, 1 ½ hour trainings to youths age 15 to 16 years of age on how to participate in a youth tobacco purchase survey. The training will include parental permission, safety issues, data collection, and dealing with conflict. The training will include didactic and role playing sessions. A training curriculum will be adapted from the TCS Youth Tobacco Purchase Survey Protocol Manual.

3. Copyright

Instruction: From the Drop Down Box choices, indicate if this activity involves development of a copyrightable product such as a brochure, poster, ad, manual, etc.

Copyright Drop Down Box Choices:

Yes
No

4. Program Deliverable Percentage

Instruction: From the Drop Down Box choices, select a percentage that reflects the programmatic value or percent of effort for deliverables only. The Program Deliverable percentage reflects a combination of staff and budget resources to complete the deliverable. A Program Deliverable reflects products and services developed or conducted under the contract. The deliverable is inclusive of all the coordination and collaboration conducted in order to produce the deliverable. Do not assign a percentage to activities that describe coordination, collaboration, or planning only. For example, do not assign a percentage to coordination/collaboration and planning activities that lead to the accomplishment of a press event or educational training. The press event or educational training is the Program Deliverable. The total of the percentages assigned in the workplan may not be greater than 100% and no Program Deliverable may be assigned a percentage of less than .5%.

At the end of the term of this workplan, the Program Deliverable Percentage will be used to help ascertain and calculate the maximum amount of funding the Local Lead Agency should receive, based upon the completion of Program Deliverables. If any Program Deliverable is not completed satisfactorily or in its entirety, the Program Deliverable Percentage will be used to determine a reduction in payment to the Local Lead Agency.

Program Deliverable Drop Down Choices

.5% through 100%

5. Tracking Measure

Instructions: List the items that will be used by the project to verify and document completion of activities using the Free Form Text Box. Tracking Measures include sign-in sheets, meeting logs, press releases, focus group findings, promotional items, incentives, educational materials, flyers, meeting minutes, training manuals, advertisements, etc. Additionally, indicate if the item will be submitted as an attachment to the progress report. TCS wants to see most documentation. However, do not submit individually completed survey forms, sign-in sheets, log sheets. These documents must be kept on file by your agency for three years after the end of the contract.

6. Activity Start Date Period

Instructions: From the Drop Down Box Choices provided, select the progress report period(s) in which the activity is expected to begin. Select all that apply.

Activity Start Date Period Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

7. Activity Completion Date Period

Instructions: From the Drop Down Box Choices provided, select the progress report period(s) in which the activity is expected to be completed. Select all that apply.

Activity Completion Date Period Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

8. Who is Responsible?

Instructions: In the free form text box, indicate the position responsible for each program and evaluation activity. It may include program staff, volunteers, coalition members, consultants, subcontractors or mini-grant recipients. Indicate the specific position, such as Project Director or Health Educator, etc. Position titles should mirror the titles provided in the budget. Do not include agencies/individuals that are not within your control (e.g., city officials, schools, etc.)

D. Educational, Media, Promotional and Incentive Materials Development

Check the box at the beginning of the form if there will be no educational, media, promotional or incentive items,

1. TCS Priority Area

Instructions: Using the drop down box choices, select the priority area for the material being developed.

TCS Priority Area Drop Down Box Choices:

Counter Pro-tobacco Influences
Reduce Exposure to Secondhand Smoke
Reduce Availability to Tobacco

Promote Tobacco Cessation Services
Other Asset

2. Working Title of the Material

Instructions: In the free form text box, provide the working title of the material.

Example: Secondhand Smoke Pediatrician Manual

3. Brief Description of the Content

Instructions: In the free form text box, provide a brief description of the content/purpose of the material.

Example: Pediatrician Manual to orient physicians and staff to systematizing parent education about secondhand smoke during infant and children well child and sick child exams.

4. Target Audience to be Reached by the Material

Instructions: For each material, identify all the target audiences to be reached by the material. Select all the target audiences that apply from each of the three population category menus provided. You must select a group for each of three population categories. “None” and “Other” are among the options if the audience and population groups listed in the menus are inappropriate.

Audience Group Drop Down Box Choices:

All ages
0-12 years
13-17 years
Young Adults, 18-24 years
Adults 18 years and older
21 years and older

Advocates
Bar Owners
Business/Merchant
Casino Owners
Coalitions
College Students
Employees
Entertainment Industry
Families
Government Agencies
Health Professionals
Immigrants
Key Opinion Leaders
Law Enforcement
Legislators/Policy Makers
Lesbian, Bisexual, Gay, Transgendered
Low Literacy
Mass Media (directors, actors, etc.)
Pharmacists
Pregnant Women
Religious groups
Rural Populations
Schools
Sport Fans, Sport Teams, Management
Tobacco Users
Women
None
Other

Broad Ethnic Population Groups Drop Down Box Choices:

American Indian/Native American
African
African American/Black
Asian
Eastern European
Hispanic/Latino
Middle Eastern
Pacific Islander
Southeast Asian
White, Non-Hispanic
Non-specific/General Audience
None
Other

Specific Ethnic Population Groups Drop Down Box Choices:

Afghan
Arabic
Armenian
Asian Indian
Bosnian
Cambodian
Cantonese
Central American
Chamorru
Chinese
Croatian
Cuban
Eritean
Ethiopian-Amhara

Ethiopian-Oromo
Ethiopian-Tigrie
Hawaiian
Hmong
Indigenous Peoples of Mexico, Central and South America
Iranian
Iraqi
Japanese
Khmer
Korean
Kosovar
Kurd
Laotian
Liberian
Lingala
Mandarin
Mexican
Mien
Pilipino
Puerto Rican
Romanian
Russian
Samoan
Serbian
Somali
South American
Sudanese
Taiwanese
Thai
Tongan
Ukrainian
Vietnamese
None

Other

5. Material Format

Instructions: Using the drop down box choices, select the format of the material being developed.

Material Format Drop Down Box Choices

Audio Tape
Billboard Ad/PSA
Booklet
Brochure
Curriculum
Educational PSA
Fact Sheet
Game
Magazine Ad/PSA
Mall Kiosk
Newspaper Ad/PSA
Other Type Ad/PSA
Outdoor Ad/PSA
Point-of Sale Ad/PSA
Poster
Print Ad/PSA
Promotional Item
Public Transit Ad/PSA
Radio Ad/PSA
Television Ad/PSA
T-Shirt
Video
Website
White Paper

6. Language

Instructions: Using the drop down box choices, select the language(s) in which the material will be printed. Check all that apply.

Language Drop Down Box Choices

Afrikaans
American Sign Language
Amharic
Arabic
Armenian
Gengali
Cambodian
Cantonese
Chinese, Hakka
Chinese, Jinyu
Chinese, Mandarin
Chinese, Min Nan
Chinese, Other
Chinese, Wu
Chinese, Xiang
Czech
English
French
German
Greek
Gujarati
Haitian Creole
Hindi
Hmong
Hungarian
Ilocano

Indonesian
Iranian
Italian
Japanese
Khmer
Kiswahili
Korean
Kurdish
Laotian
Lingala
Magali
Marathi
Mien
Nuer
Oromiffa
Persian
Pilipino
Polish
Portuguese
Punjabi
Russian
Samoan
Siamese
Somali
Spanish
Tagalog
Telugu
Tigrigna
Tongan
Ukrainian
Urdu
Uzbek
Vietnamese

7. Projected Completion Date

Instructions: From the Drop Down Box Choices provided, select the progress report period(s) in which TCS will receive a copy of the completed material. Select all that apply.

Projected Completion Date Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

8. Actual Completion date for Progress Report Use Only

Instructions: Leave blank at this time. The actual completion date for the material will be provided when you prepare your progress report.

Actual Completion Date Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

9. Date Sent to TECC for Progress Report Use Only

Instructions: Leave blank at this time. In your progress report, you will provide the time period in which the material was sent to TECC.

Date Sent to TECC Drop Down Box Choices

07/01-12/01	**01/03-06/03**
01/02-06/02	**07/03-12/03**
07/02-12/02	**01/04-06/04**

10. Document # for Progress Report Use Only

Instructions: Leave blank at this time. At the time the progress report is prepared, you will provide a document number for each item.

Document Number Drop Down Box Choices

1 through 100

Online Workplan Form
Local Lead Agencies

For each objective the following information will be collected.

A. OVERVIEW

1. Priority Area

Drop Down Boxes (5 choices)

2. Name or Number of the Indicator/Asset

Drop Down Boxes (62 Indicators & 14 Asset choices)

3. Objective

Free Form Text Box

4. Is this a primary objective that will receive an indepth evaluation and for which a thorough final evaluation report will be produced?

Drop Down Boxes (Yes/No Response)

5. **Target Audience to be Reached by the Intervention (select all that apply)**

Audience Groups	General Population Groups	Specific Ethnic Population Groups
Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)	Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)	Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)

6. **Intervention Topic(s)**

Drop Down Boxes (Choice will vary by the Priority Area and the choices will be consistent with those available in the Project Directory Menus)

B. EVALUATION PLAN – This portion of the workplan describes the methods and timelines you will implement to evaluate the extent to which the objective was completed and the reporting methods and timelines to communicate completion of major evaluation activities.

1. **Expectations/Expected Outcome(s) to result from the Interventions**

Free Form Text Box

2. **What outcome is being measured? (Attitudes, Knowledge, Beliefs, Opinions, Policy Enactment, Number of ads, Illegal Tobacco Sales, etc.)**

Free Form Text Box

3. What type of study design will be used?

General Evaluation Design (Experimental: Randomized Groups, Quasi-Experimental: Non-Equivalent Groups, Non-Experimental)

Drop Down Boxes (3 choices)

Number of Intervention Groups

Drop Down Boxes (0-99)

Number of Control Groups

Drop Down Boxes (0-99)

Intact Groups (Yes, No)

Drop Down Boxes (2 choices)

Measurements (Post-test only, Pre- and Post-Test, Longitudinal)

Drop Down Boxes (3 choices)

If your study design is more complicated than the above characteristics, please give a description in this box.

Free Form Text Box

4. **What instrument (s) will be used to collect the outcome data? (Survey, Key Informant Interview Questionnaire, Focus Group Questions, Observational Checklist, etc.)**

Free Form Text Box

5. **Describe the activities and resources to be used to design the above instruments? (Collect and review similar instruments developed by others, pilot-test the instrument, etc.)**

Free Form Text Box

6. **Start Period for Instrument and Data Collection Protocol Development**

Drop Down Boxes (Will list 6 month progress report periods)

7. **Completion Period for Instrument and Data Collection Protocol Development**

Drop Down Boxes (Will list 6 month progress report periods)

8. **How will the outcome data be collected? or What Data Collection Method will be used? (Focus Group, Mail Survey, Telephone Survey, Personal Interview, Observation, etc.)**

Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menu)

9. Where will the outcome data be collected? (Home, Mail, School, Tobacco Retail Outlets, Events, Clinics, etc.)

Free Form Text Box

10. When will the outcome data be collected? (Check as many as apply)

Drop Down Boxes (Will list 6 month progress report periods)

11. How many will be in the sample? (Number of stores, persons, households)

Free Form Text Box (If data collection methods are used, please identify the number for each data collection method)

12. How will the sample be selected? (Simple random, random clusters, purposive, convenience, etc.)

Free Form Text Box (If data collection methods are used, please identify the number for each data collection method)

13. What type of analysis will be done? (Comparison over time, comparison with other groups, comparison with a control group, etc.)

Free Form Text Box

14. What process evaluation activities will you conduct? (Focus groups, interviews, activity tracking, etc.)

Free Form Text Box

15. How will the results be disseminated? (Professional journal, local media, city council, PARTNERS, etc.)

Free Form Text Box

16. During what Progress Report Period(s) will TCS receive an interim report describing results of baseline data collection?

Drop Down Boxes (Will list 6 month progress report periods)

17. During what Progress Report Period will TCS receive the final report describing the results of data analysis?

Drop Down Boxes (Will list 6 month progress report periods)

18. What if any limitations or challenges do you foresee with the evaluation?

Free Form Text Box

C. **ACTIVITY PLAN – This portion of the workplan describes the methods, steps, timelines, who is responsible for completing major activities, copyrightable products and the percent of effort that deliverables represent. Items #1 through #8 will be completed for each activity.**

1. **Major Intervention Category (Coordination/Collaboration, Community Education, Media, Training, Incentives, etc.)**

Drop Down Boxes

2. **Activity -- Describe the activity to be conducted to achieve the objective. Describe what will be done (methods), how much will be done and where activities occur.**

Free Form Text Box

3. **Copyright – Is this a copyrightable product such as a brochure, poster, ad, manual, etc.?**

Copyright (Y/N response) Drop Down Boxes

4. **Program Deliverable Percentage -- For each program deliverable, provide a percentage that reflects the programmatic value or percent of effort. The Program Deliverable percentage reflects a combination of staff and budget resources necessary to complete the deliverable.**

Program Deliverable Percentage (Drop Down Boxes of .5 to 100%. These boxes will total so as to ensure that the total percentages provided are not over or under 100%)

5. Tracking Measure – List the tracking measure that will be submitted or retained on file to verify completion of the activity.

Free Form Text Box	Submit with Progress Report? (Y/On File Drop Down Box Response)

6. Activity Start Date Period

Drop Down Boxes (Will list 6 month progress report periods)

7. Activity Completion Date Period

Drop Down Boxes (Will list 6 month progress report periods)

8. Who is Responsible? (List who is responsible for completion of the activity. For example Project Director, Health Educator, Volunteer, Subcontractor, Coalition Members. For staff, use the job titles identified in the Budget. Do not include agencies/individuals that are not within your control (e.g., city officials, school)

Free Form Text Box

D. Educational, Media, Promotional and Incentive Materials Development

No Educational, Media, Promotional or Incentive Materials to be developed.

1. TCS Priority Area

Drop Down Boxes (4 choices)

2. Working Title of the Material

Free Form Text Box

3. Brief Description of the Content

Free Form Text Box

4. Target Audience to be Reached by the Material

Audience Groups	Broad Ethnic Population Groups	Specific Ethnic Population Groups
Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)	Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)	Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menus)

5. Material Format

Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menu)

6. Language

Drop Down Boxes (Choices will be consistent with those available in the Project Directory Menu)

7. Projected Completion Date

Drop Down Boxes (Will list 6 month progress report periods)

8. Actual Completion Date for Progress Report Only

Drop Down Boxes (Will list 6 month progress report periods)

9. Date Sent to TECC for Progress Report Only

Drop Down Boxes (Will list 6 month progress report periods)

10. Document # for Progress Report Only

Drop Down Boxes (Will list 1 to 100)

ILLUSTRATION 13

Administrative/Collaborative Activities

<u>* OPTIONAL ****</u>***

Use this entry form to describe administrative/collaborative activities such as working with Regional Community Linkage Projects, Ethnic Networks, etc.

ILLUSTRATION 14

Non-Proposition 99 Incoming Tobacco Control Funds

July 1, 2001-June 30, 2004

LIST ALL INCOMING TOBACCO CONTROL FUNDS (NON-PROP 99) FOR SERVICES THAT YOUR TOBACCO CONTROL PROGRAM RECEIVES OR ANTICIPATES RECEIVING DIRECTLY

Specify Contract, Grant, or Allocation and Project Title	Funding Agency Name (Use Full Name)	Amount of Support	Funding Period
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			
•			
Brief description of the activities:			

SAMPLE BUDGET JUSTIFICATION FORMAT **ILLUSTRATION 15**

County of ABC
Contract No.
Term: 07/01/01-06/30/04 Revision Date:

	AMOUNT REQUESTED			
	FY 01/02	**FY 02/03**	**FY 03/04**	**Total Budget**
A. PERSONNEL SERVICES				
1. Project Director ($2,110-$2,637 x 15% x 24 pps/yr x 3 yrs) Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal and general coordination of project. Monitors the project budget, maintains liaison with CDHS/TCS Local Programs Unit staff and Contract Manager. Approves budget, invoice, staff changes, ensures timely progress reports on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the designated evaluation consultant.	$7,596	$8,280	$9,000	$24,876
2. Project Coordinator ($1,600-$1900 x 100% x 24 pps/yr x 3 yrs) Under the supervision of the Project Director, responsible for coordinating the project activities related to media, promotional events, and other duties as required. Works with hired media consultant to develop appropriate media in several mediums (newspaper, billboards, and radio) to promote the exhibit, and to develop appropriate promotional items. Monitors PARTNERS, dowloads information, and posts project reports as required. Devotes 5% of his/her time to implement surveys for the evaluation activities.	$38,400	$42,000	$44,400	$124,800

	AMOUNT REQUESTED			
	FY 01/02	FY 02/03	FY 03/04	Total Budget
3. Health Educator ($1,400-$1,700 x 50% x 24 pps/yr x 3 yrs) Under the supervision of the Assistant Project Director, develops educational materials for distribution at various ethnic network events. Monitors PARTNERS, downloads information, and posts project reports as required. Devotes 10% of his/her time for evaluation activities.	$16,800	$18,000	$19,200	$54,000
Total Salaries	$62,796	$68,280	$72,600	$203,676
FRINGE BENEFITS	$12,559	$13,656	$14,520	$40,735
At approximately 18%-20% of Total Personnel Costs ($447,300 x 19% = approximately $84,987) Fringe benefits includes the following: FICA, State Unemployment, State Disability Insurance, Worker's Compensation, Health Insurance Benefits.				
TOTAL PERSONNEL SERVICES	$75,355	$81,936	$87,120	$244,411
B. OPERATING EXPENSES				
1. Office Expenses Includes all general office supplies such as pens, pencils, paper, etc. at approximately $92/month x 36 months. 4% inflation/year	$1,104	$1,148	$1,194	$3,446

SAMPLE BUDGET JUSTIFICATION FORMAT **ILLUSTRATION 15**

	AMOUNT REQUESTED			
	FY 01/02	**FY 02/03**	**FY 03/04**	**Total Budget**
2. Communications Includes installation and monthly costs related to the telephone system and FAX service, estimated at approximately $150/month x 36 months. 4% inflation/year.	$1,800	$1,872	$1,947	$5,619
3. TCS' Communication Network (PARTNERS) Monthly internet access fees (required for PARTNERS access) at $36.50/month x 36 months.	$438	$438	$438	$1,314
Modem & software costs are to be reported in the Equipment Purchases line item.				
4. Postage & Shipping Includes expenses for postage costs for project mailings and general correspondence and materials at approx. $81/mo. X 36 mos. 4% inflation/year.	$972	$1,011	$1,051	$3,034
5. Printing Includes expenses for outside vendor printing and reproduction e.g., brochures, forms, posters, etc. at approx. $180/mo x 36 mos. 4% inflation/year	$2,160	$2,246	$2,336	$6,742
6. Space Rent/Lease (650 sq ft x $1.10 per sq ft x 12 mos. = $8,580) (650 sq ft x $1.20 per sq ft x 12 mos. = $9,360) (650 sq ft x $1.30 per sq ft x 12 mos. = $10,140) Includes rent cost for 2.5 FTE project staff plus use of common space such as conference rooms, etc.	$8,580	$9,360	$10,140	$28,080

SAMPLE BUDGET JUSTIFICATION FORMAT **ILLUSTRATION 15**

	AMOUNT REQUESTED			
	FY 01/02	FY 02/03	FY 03/04	Total Budget
7. Equipment Rental The tobacco control program is charged a prorated share of the health department's copy machine. The estimated costs for 36 months are as follows: $50/month x 12 months = $600 $55/month x 12 months = $660 $60/month x 12 months = $720	$600	$660	$720	$1,980
8. Travel/Training				
a. Project Travel/Training Includes travel/per diem expenses for travel in support of the workplan. Registration costs and fees for meetings and conferences to be attended by project staff.	$2,565	$3,499	$2,835	$8,899
b. TCS Travel/Training Includes travel expenses for unanticipated TCS meetings and/or training/conferences. $750 ($500 for travel and $250 for registration) x 1 staff x 5 trainings x 3 years = $11,250	$3,750	$3,750	$3,750	$11,250
c. Required TCS Travel/Training In addition to the above, we have budgeted for the following TCS required travel/training.				
(1) Project Directors Meeting for fiscal year 2001/2002 and 2003/2004 @ $1,200 ($1,000 travel & $200 registration) x 2 staff x 2 yrs = $4,800	$2,400	$0	$2,400	$4,800

SAMPLE BUDGET JUSTIFICATION FORMAT **ILLUSTRATION 15**

	AMOUNT REQUESTED			
	FY 01/02	FY 02/03	FY 03/04	Total Budget
9. Subscriptions Annual membership fee to the Local Lead Agency Project Directors Association. $1,000 for fiscal year 2003/2004. Annual membership fees for fiscal years 2001/2002 and 2002/2003 were paid in the previous contract.			$1,000	
TOTAL OPERATING EXPENSES	$24,369	$23,984	$27,811	$76,164
C. EQUIPMENT PURCHASES The tobacco control program needs to purchase the following: 2 computers (to replace computers purchased over 5 years ago) software upgrades 2 desks 2 chairs 2 storage cabinets 1 TV/VCR	$7,530	$0	$0	$7,530
D. OTHER COSTS				
a. Subcontracts and Consultants				
(1) XYZ Media Company Will work with the network to develop and produce appropriate media in several mediums (newspaper, billboards, and radio) to promote the project and to develop appropriate promotional items. items. Will participate in 4-6 planning meetings and conduct 3 focus groups.	$4,000	$3,500	$5,000	$12,500

	AMOUNT REQUESTED			
	FY 01/02	FY 02/03	FY 03/04	Total Budget
(2) Evaluation Consultant 1,250 hours for the total term; approximately 350 hours/year @ $60 per hour. Consultant will create/perform evaluation activities, field test materials, attend TCS meetings and trainings, prepare evaluation reports, etc.	$21,000	$21,000	$22,500	$64,500
b. Educational Materials Includes the purchase of educational materials, such as brochures, pamphlets, posters, curriculum, videos, slides or flip charts.	$4,000	$2,500	$1,000	$7,500
c. Promotional Items and Incentives				
(1) Promotional Items Promotional Items to be distributed at the network events include T-Shirts, magnets, water bottles, balloons, etc. to promote the project.	$7,500	$6,000	$7,000	$20,500
(2) Incentives Incentive items provided to youth who participate on the youth subcommittee. (8 yth x $40/yth/yr x 3.5 yrs)	$320	$320	$320	$960
d. Media **Stevens, Fowler, Houseman & Brown, Inc.** Agency will purchase advertising space and airtime for billboard ads and radio spots. Radio ads to be aired locally during primetime. 3-5 billboard ads to be placed on 7-10 billboards in strategic community locations.	$7,500	$8,000	$10,500	$26,000
e. Mini-Grants 5-10 mini-grant awards will be made to agencies that propose activities that support our workplan. Such as youth groups who assist with the point-of-sale surveys.	$5,000	$5,000	$5,000	$15,000

SAMPLE BUDGET JUSTIFICATION FORMAT **ILLUSTRATION 15**

		AMOUNT REQUESTED			
		FY 01/02	**FY 02/03**	**FY 03/04**	**Total Budget**
	f. Sponsorships Sponsorships will be provided to events such as rodeos, pow-wows, etc., that support our workplan. Sponsorship awards will comply with the TCS policy.	$1,000	$1,000	$1,000	$3,000
	TOTAL OTHER COSTS	$50,320	$47,320	$52,320	$149,960
E.	**INDIRECT EXPENSES** @ approximately 15% of Total Salaries and Fringe Benefits Indirect Expenses includes administrative expenses (Executive Director, Deputy Director, Bookkeeper, payroll services) utilities, building and equipment maintenance, janitorial serivces, and insurance costs and annual audit expenses.	$11,303.00	$12,290	$13,068	$36,661
	TOTAL BUDGET	$168,877	$165,530	$180,319	$514,726
	EVALUATION SYNOPSIS				
	A. PERSONNEL				
	10% of the Project Director's time =	$2,488			
	5% of the Project Coordinator's time =	$6,240			
	10% of the Health Educator's time =	$5,400			
	B. OPERATING EXPENSES				
	10% of operating expenses =	$6,727			
	C. TRAVEL/TRAINING EXPENSES				
	Meetings with evaluation consultant for mileage/per diem =	$1,000			
	F. SUBCONTRACTS/CONSULTANTS				
	Evaluation consultant expenses =	$64,500			
	Total Evaluation Expenses	$86,355			

ILLUSTRATION 16

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant III Supervisor	Project Director	$4,520-$5,493
Health Education Consultant II	Senior Health Educator or Assistant Project Director	$3,994-$4,993
Health Education Consultant I	Health Educator or Health Education Assistant	$3,321-$4,139
Administrative Assistant I	Program Coordinator/Assistant	$3,255-$4,140
Office Services Supervisor II	Office Manager	$2,628-$3,195
Management Services Technician	Community Health Worker	$2,220-$2,700
Research Scientist II	Evaluation Consultant	$4,724-$5,699
Research Scientist I	Evaluation Consultant	$4,301-$5,189
Associate Governmental Program Analyst	Research Analyst II	$3,915-$4,759
Staff Services Analyst	Research Analyst I	$2,507-$3,049

CONTRACT UNIFORMITY

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, the Department of Health Services sets forth the following policies, procedures, and guidelines regarding fringe benefits.

1. As used in this agreement with reference to State and/or federal funds, fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.

2. As used herein, fringe benefits do not include:

   a. Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty, and/or military leave/training.

   b. Director's and executive committee member's fees

   c. Incentive awards and/or bonus incentive pay

   d. Allowance for off-site pay

   e. Location allowances

   f. Hardship pay

   g. Cost-of-living differentials

3. Specific allowable fringe benefits include:

   a. Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental, and vision), unemployment insurance, workers compensation insurance and the employers portion of pension/retirement plans provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.

4. To be an allowable fringe benefit, the cost must meet the following criteria:

   a. Be necessary and reasonable for the performance of the contract.

   b. Be determined in accordance with generally accepted accounting principles.

   c. Be consistent with policies that apply uniformly to all activities of the Contractor.

5. It is agreed by both parties that any and all <u>fringe benefits</u> shall be at <u>actual cost.</u>

6. Earned/accrued Compensation.

   a. Compensation for vacation, sick leave, and holidays is limited to that amount earned/accrued within the contract term. Unused vacation, sick leave, and holidays earned from periods prior to the contract period cannot be claimed as allowable costs (See example on page 2).

   b. For multiple year contracts, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the contract. Holidays cannot be carried over from one contract year to the next. (See example on page 2).

   c. For single year contracts, vacation, sick leave, and holiday compensation which is earned/accrued but not paid, due to employee(s) not taking time off within the contract term, <u>cannot</u> be claimed as an allowable cost (See example on page 2).

Earned/Accrued Compensation Examples

Example No. 1:

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a contract period of one year. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of the State contract term, the Contractor during a one-year contract term may only claim up to three weeks of vacation and twelve days of sick leave actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the contract are not an allowable cost.

Example No. 2:

If during a three-year (multiple year) contract John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

Example No. 3:

If during a single year contract, John Doe, works fifty weeks and uses one week of vacation and one week of sick leave and all fifty-two of these weeks have been billed to the State, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

EXPENDABLE AND SENSITIVE EQUIPMENT

All equipment, regardless of type, must be budgeted in the Equipment Purchases category.

Expendable Equipment

Expendable equipment is defined as equipment costing less than $500 per unit and/or has a life expectancy of less than four years.

Expendable equipment includes, but is not limited to, the following:

All Office Furniture (desks, chairs, tables, bookcases, credenzas, storage cabinets, file cabinets, partitions, computer work stations, etc.)
Typewriters
Calculators
Cameras
Projectors
Answering Machines
Easels
Office Telephones

Sensitive Equipment

This equipment is defined sensitive equipment per the State Administrative Manual regardless of the dollar amount.

Bar Code Reader
Computer Component
Computer Component CPU
Computer Monochrome Monitor
Computer Color Monitor
Computer Console
Computer MSV Storage
Computer Printer
Computer Tape Unit
Computer Disc Drive
Computer Terminal Reader
Computer Terminal Printer
Computer Terminal Data Set
Computer Power Supply
Computer Power Supply Relay Unit
Computer System
Computer Modem
Computer Wang System
Computer, Other
Copier (All types)
Facsimile (FAX) Machine (All types)
Mailing Machine
Plotter
Postage Scale
Scanner (All types)
Television
Video Cassette Recorder/Player
Video Tape Recorder
Video Color Monitor
Video Tape Player

County of ABC
Contract No.:
Term: 07/01/01-06/30/04

T O B A C C O C O N T R O L P R O G R A M

BUDGET

BUDGET CATEGORIES	BUDGET ESTIMATES			TOTAL BUDGET
	FY 2001-02 07/01/01-06/30/02	FY 2002-2003 07/01/02-06/30/03	FY 2003-2004 07/01/03-06/30/04	
A. PERSONNEL SERVICES	$75,355.00	$81,936.00	$87,120	$244,411.00
B. OPERATING EXPENSES	$24,369.00	$23,984.00	$27,811	$76,164.00
C. EQUIPMENT PURCHASES	$7,530.00	$0.00	$0	$7,530.00
D. OTHER COSTS	$50,320.00	$47,320.00	$52,320	$149,960.00
E. INDIRECT COSTS	$11,303.00	$12,290.00	$13,068	$36,661.00
T O T A L B U D G E T	$168,877.00	$165,530.00	$180,319	$514,726.00